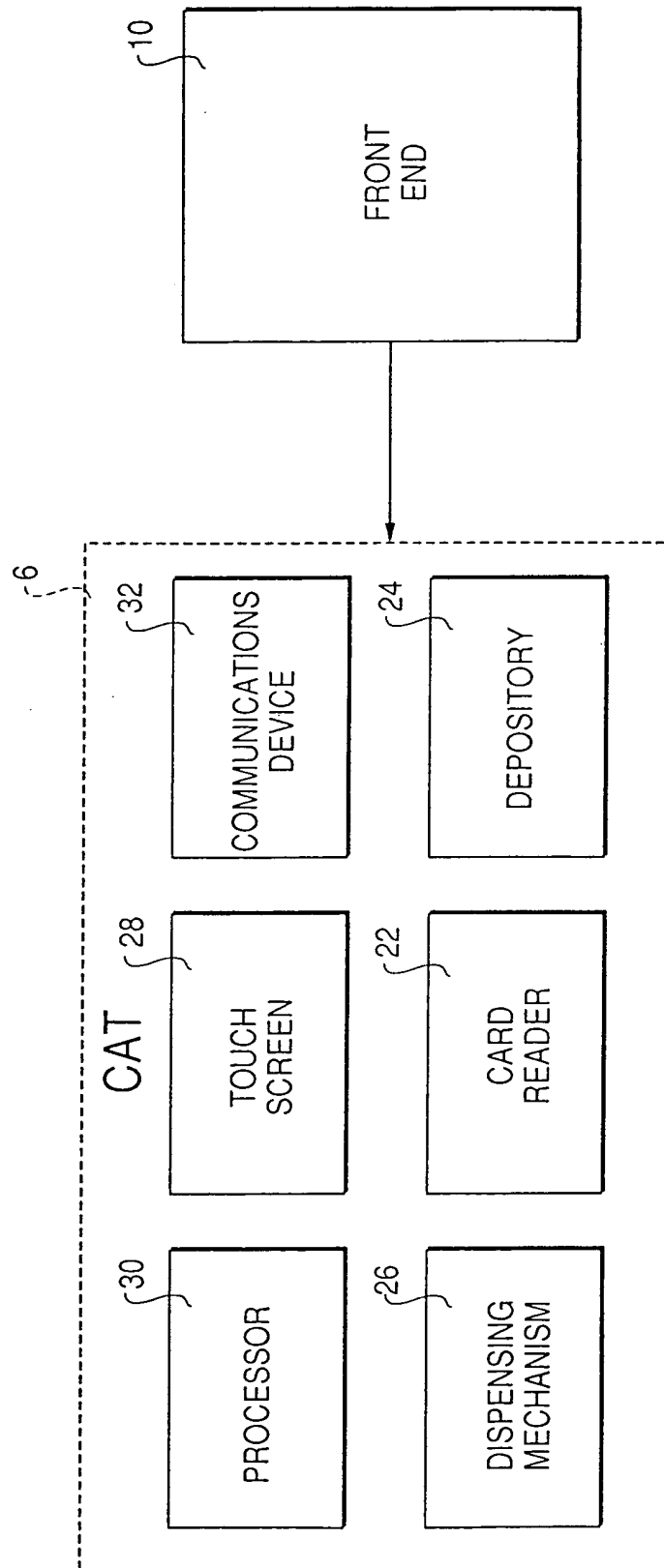




FIG. 1B



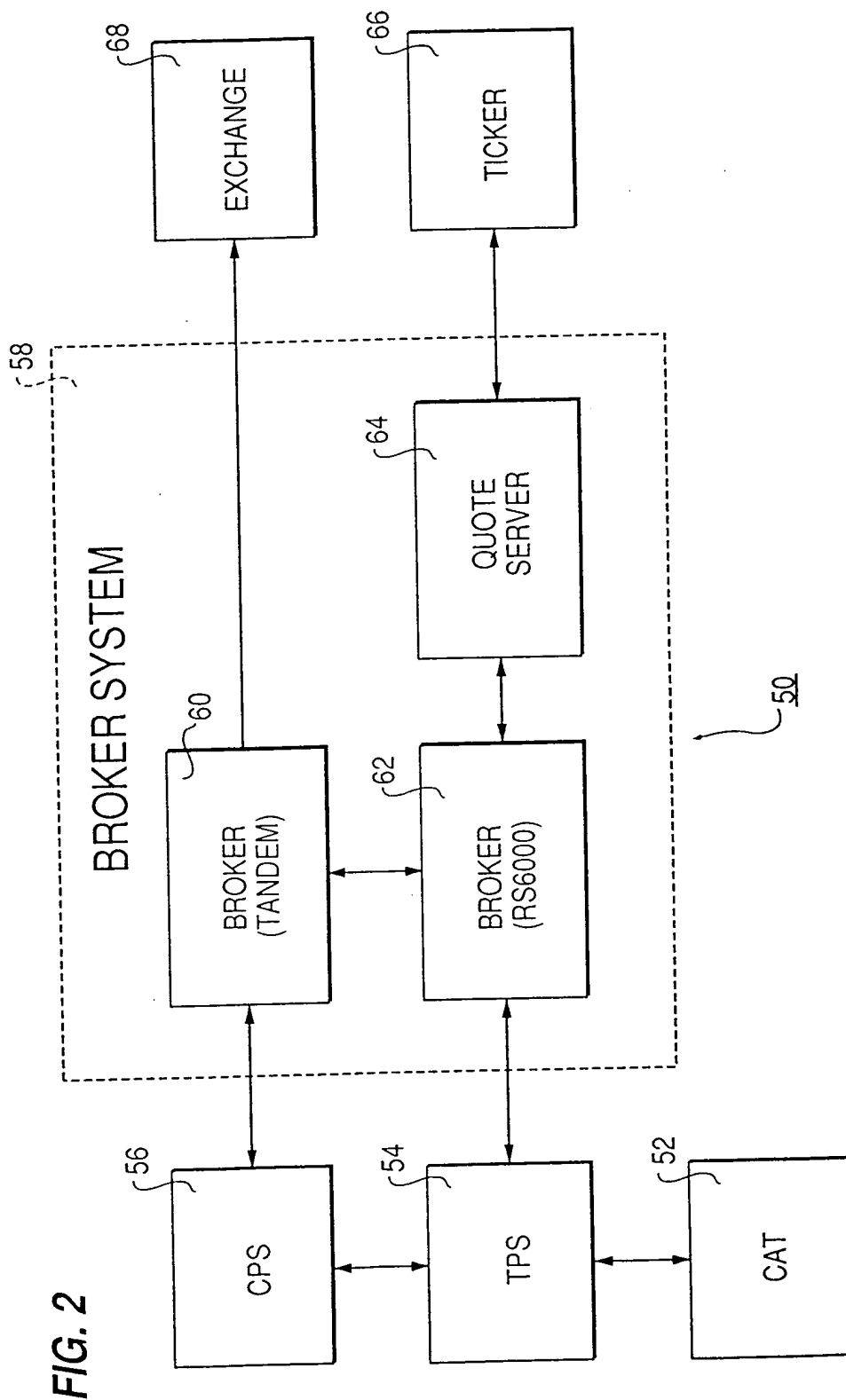
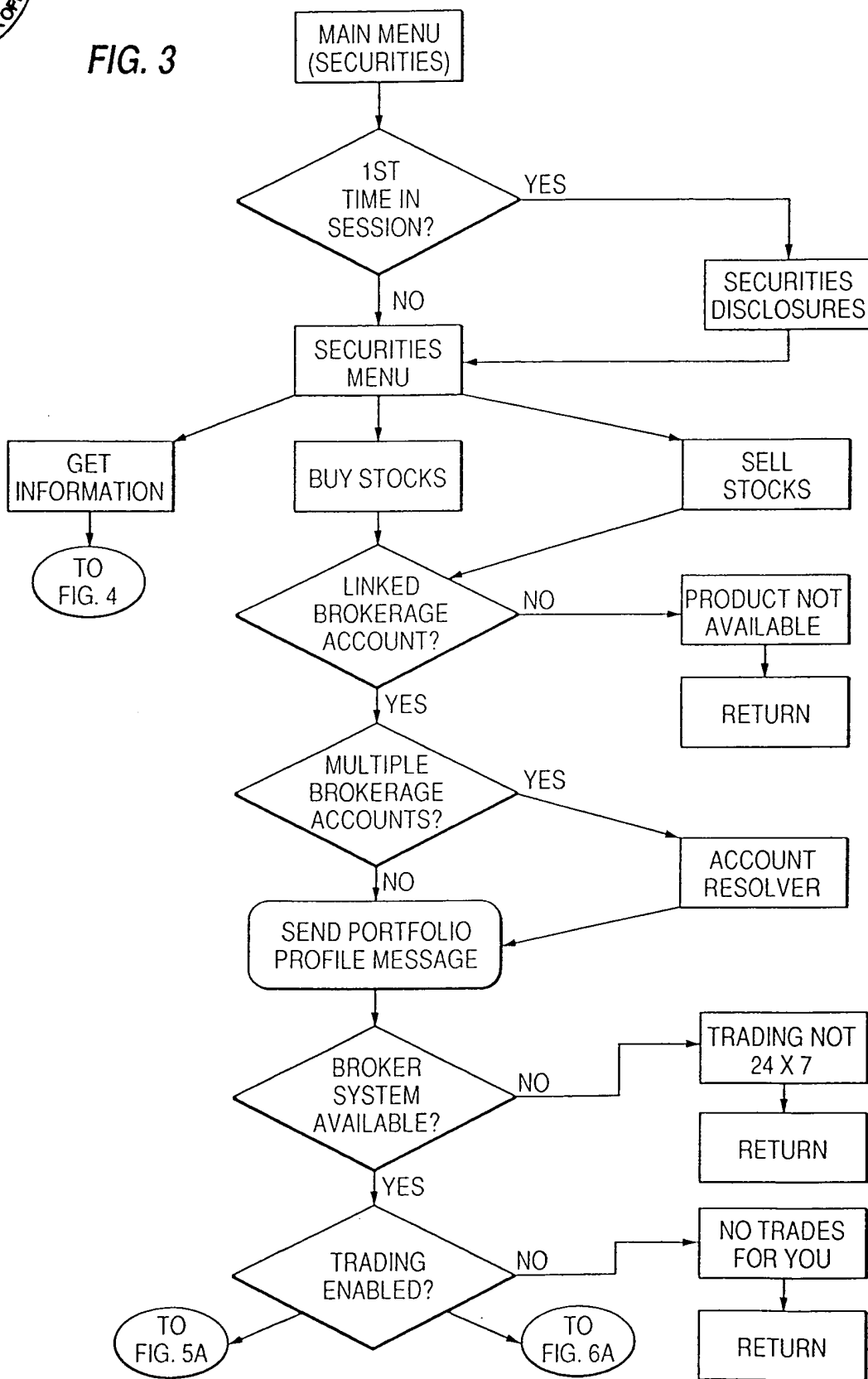
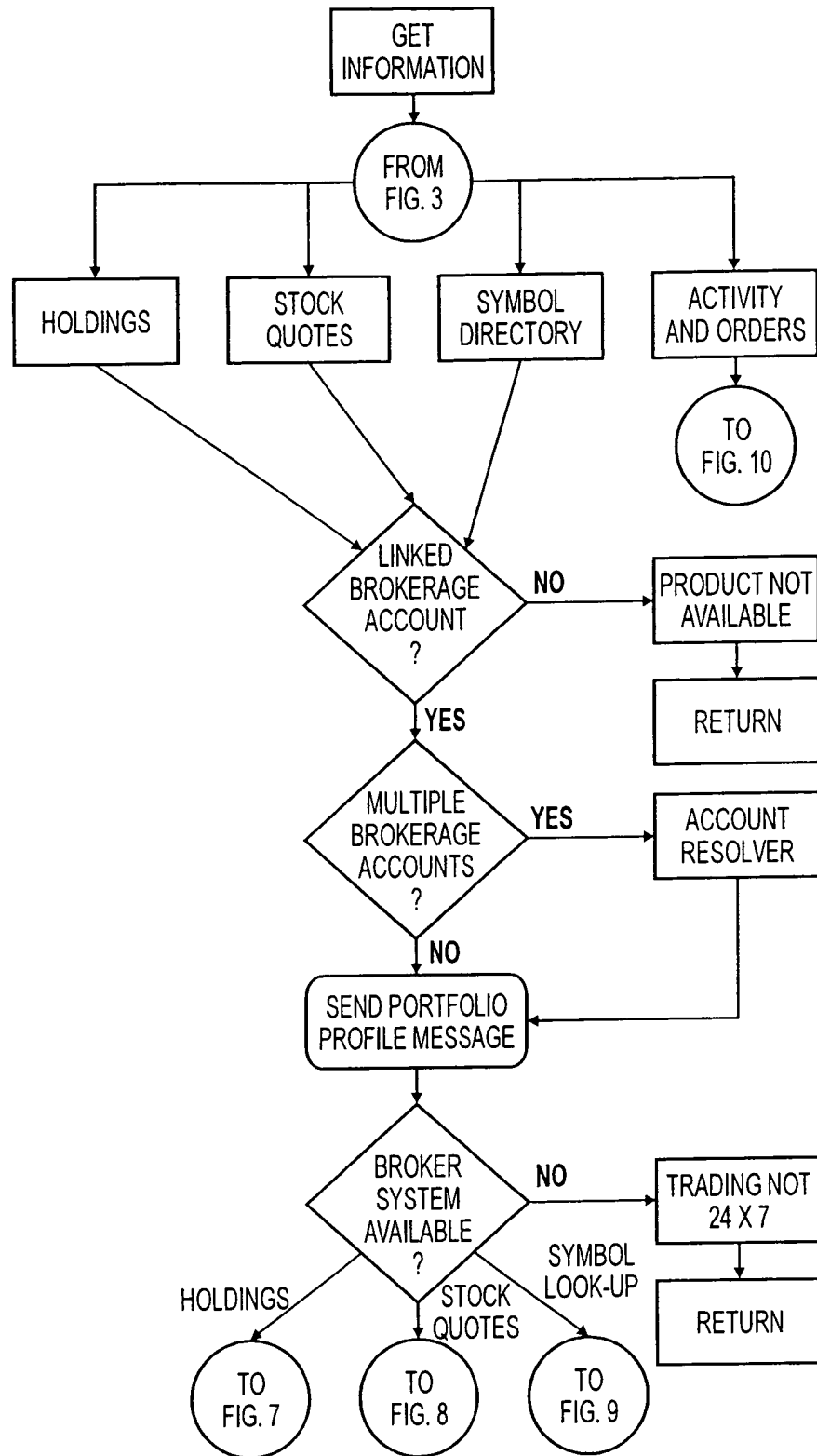




FIG. 3





**FIG. 4**

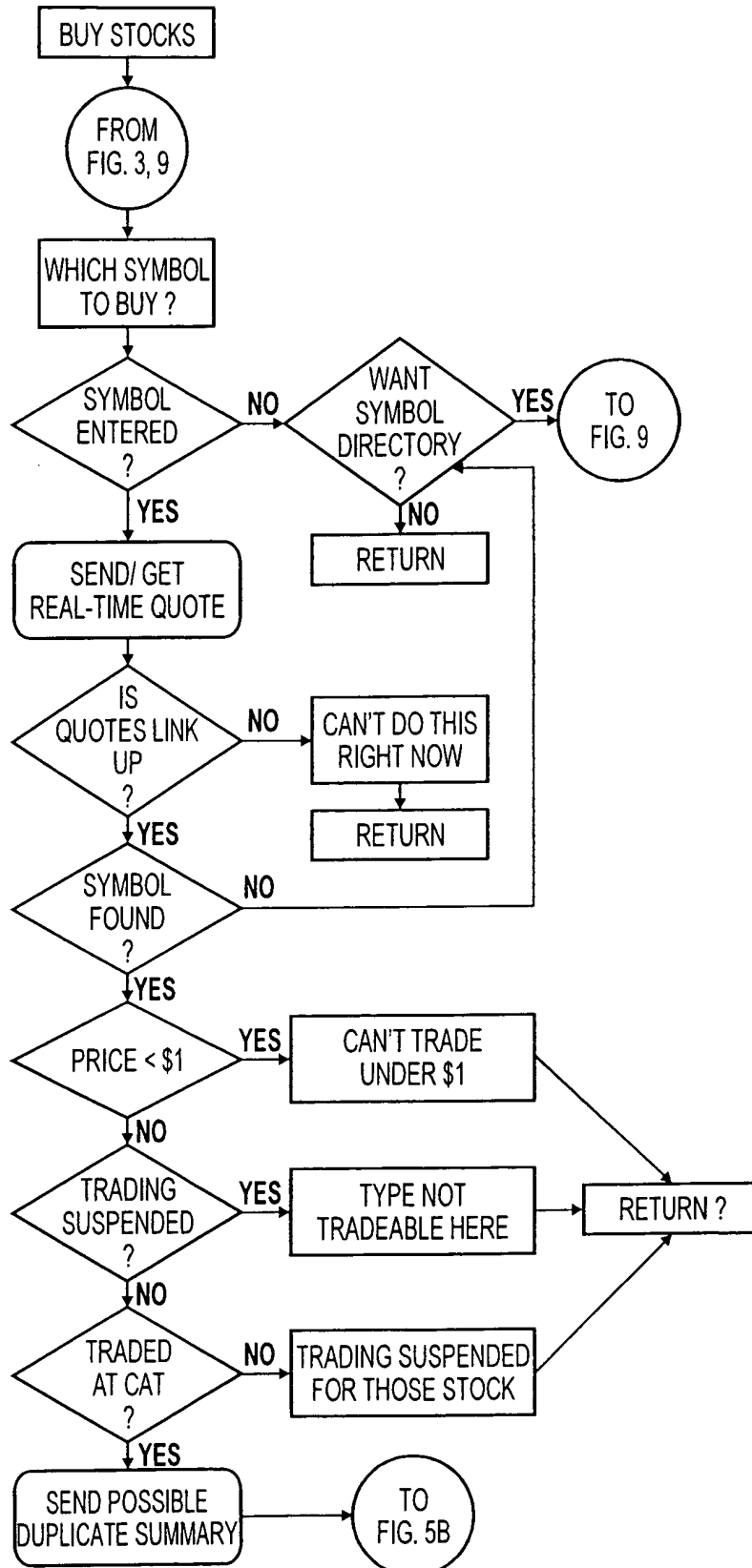


FIG. 5A



FIG. 5B

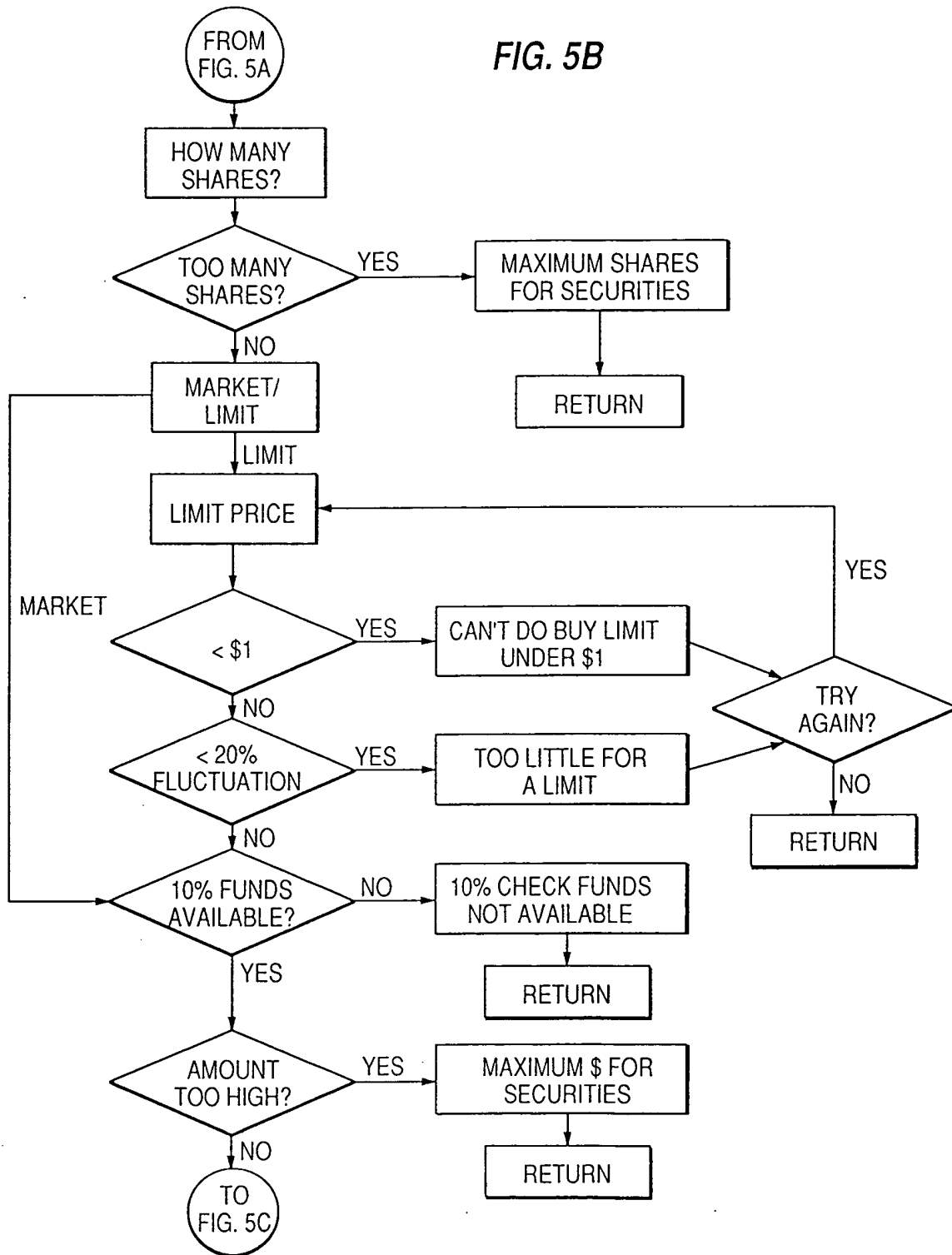
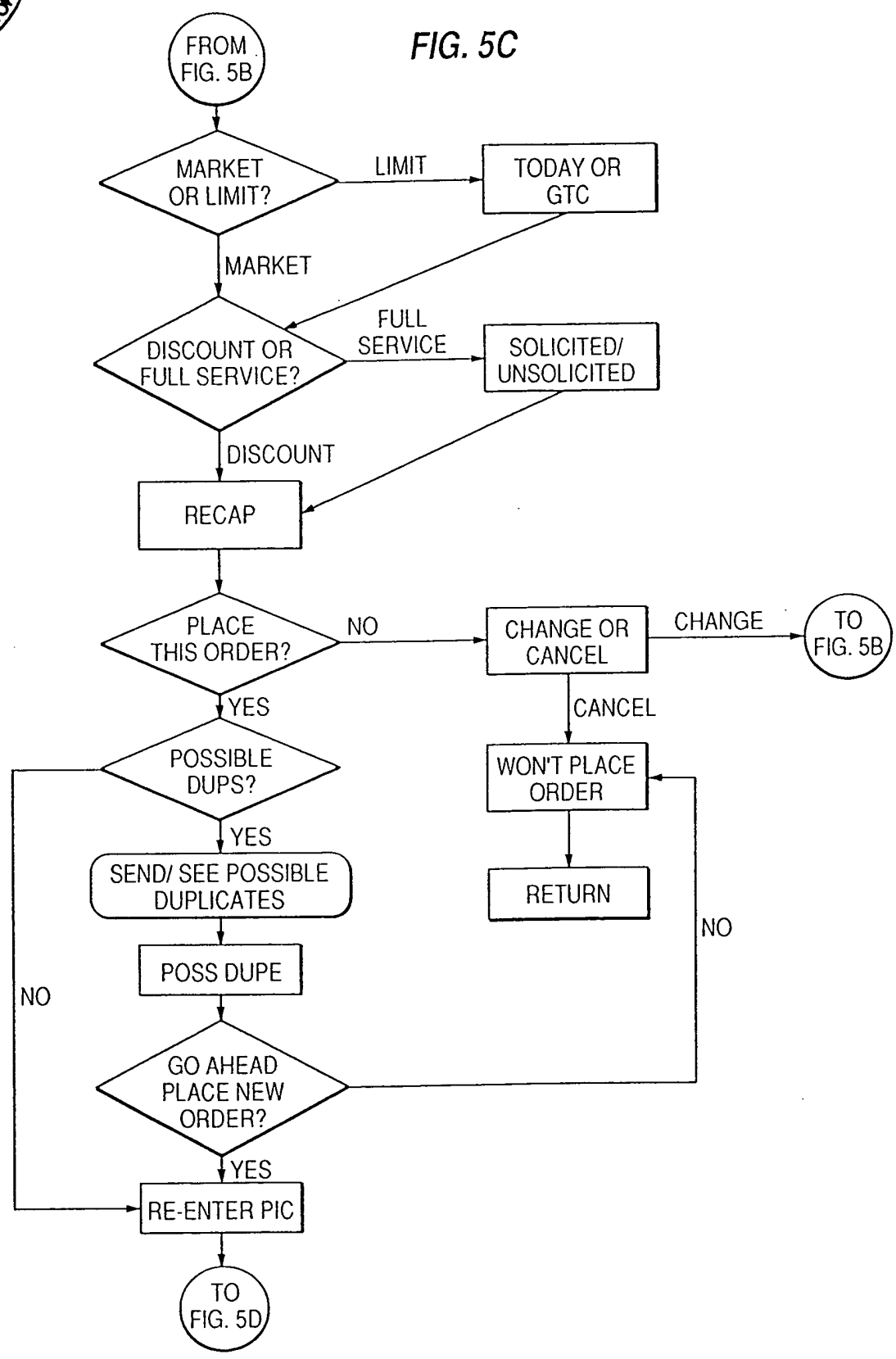




FIG. 5C





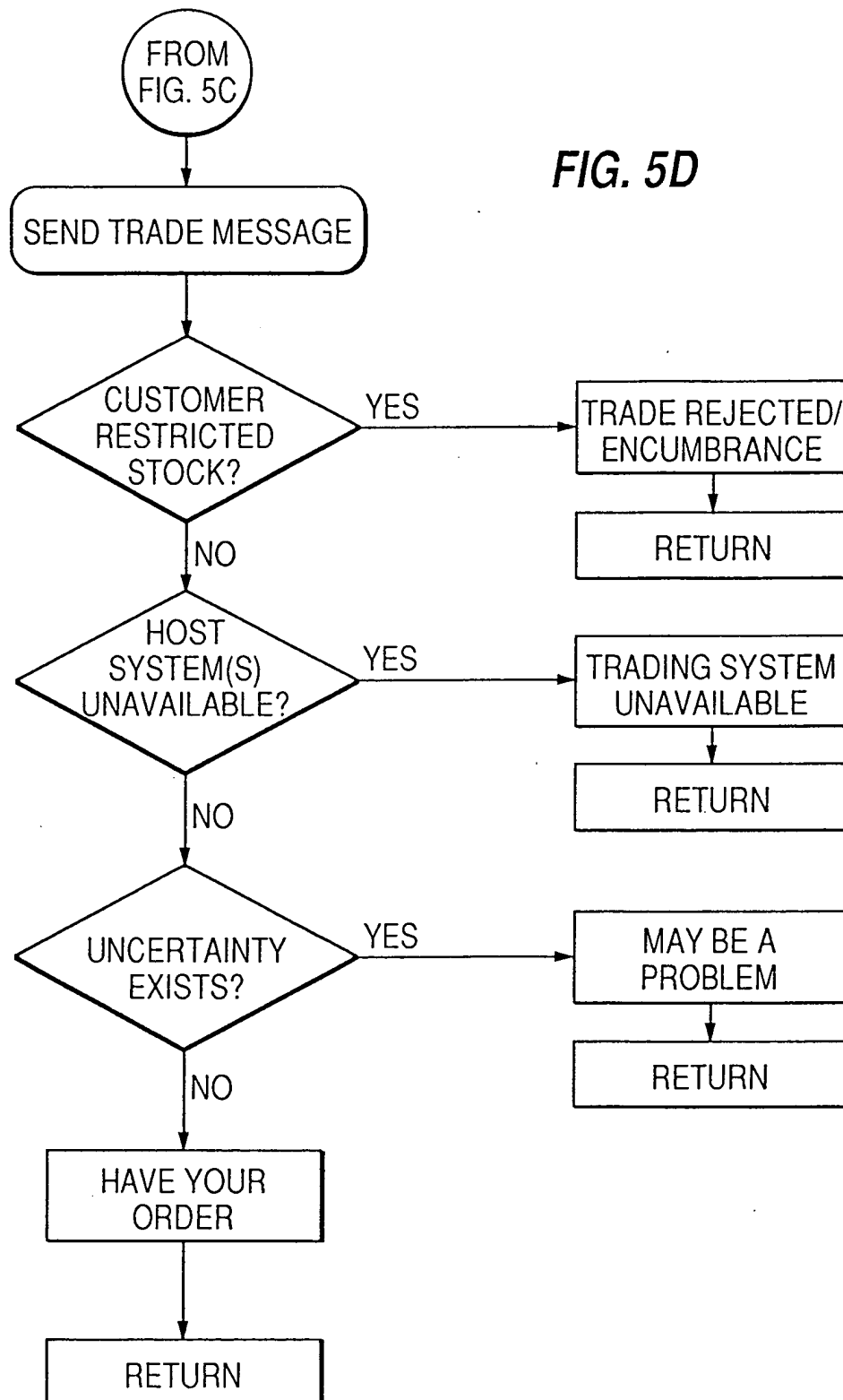
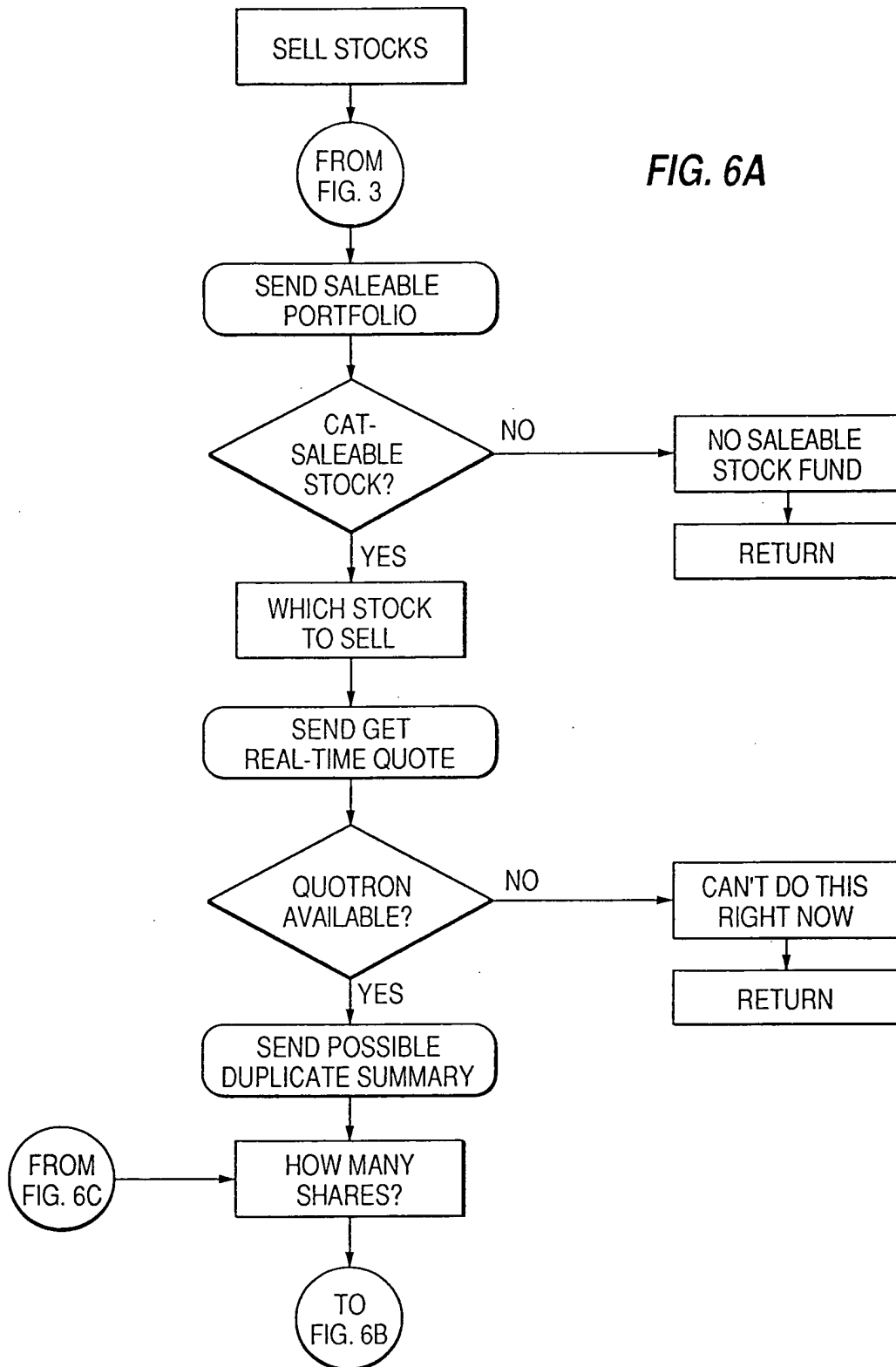




FIG. 6A



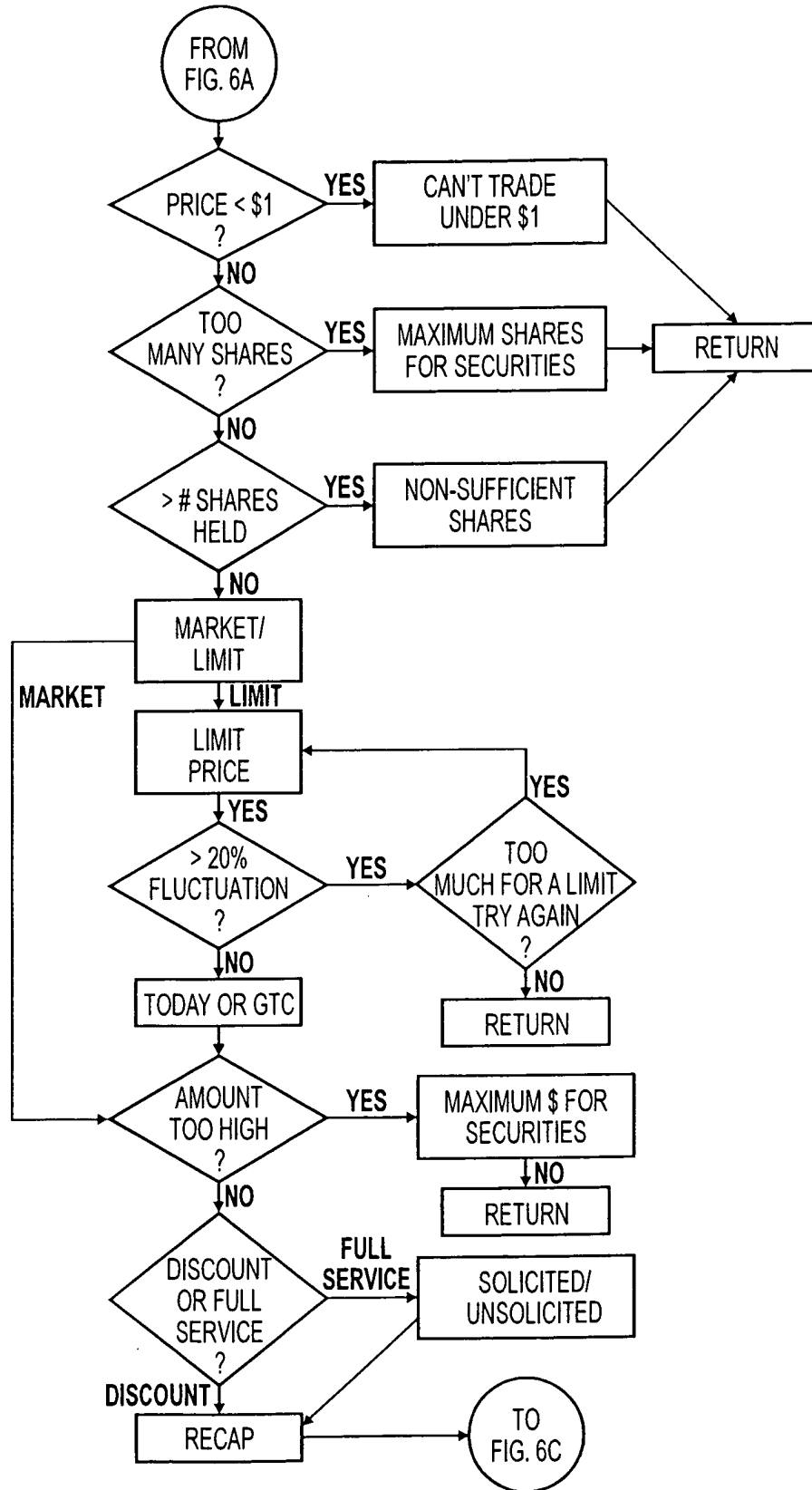


FIG. 6B

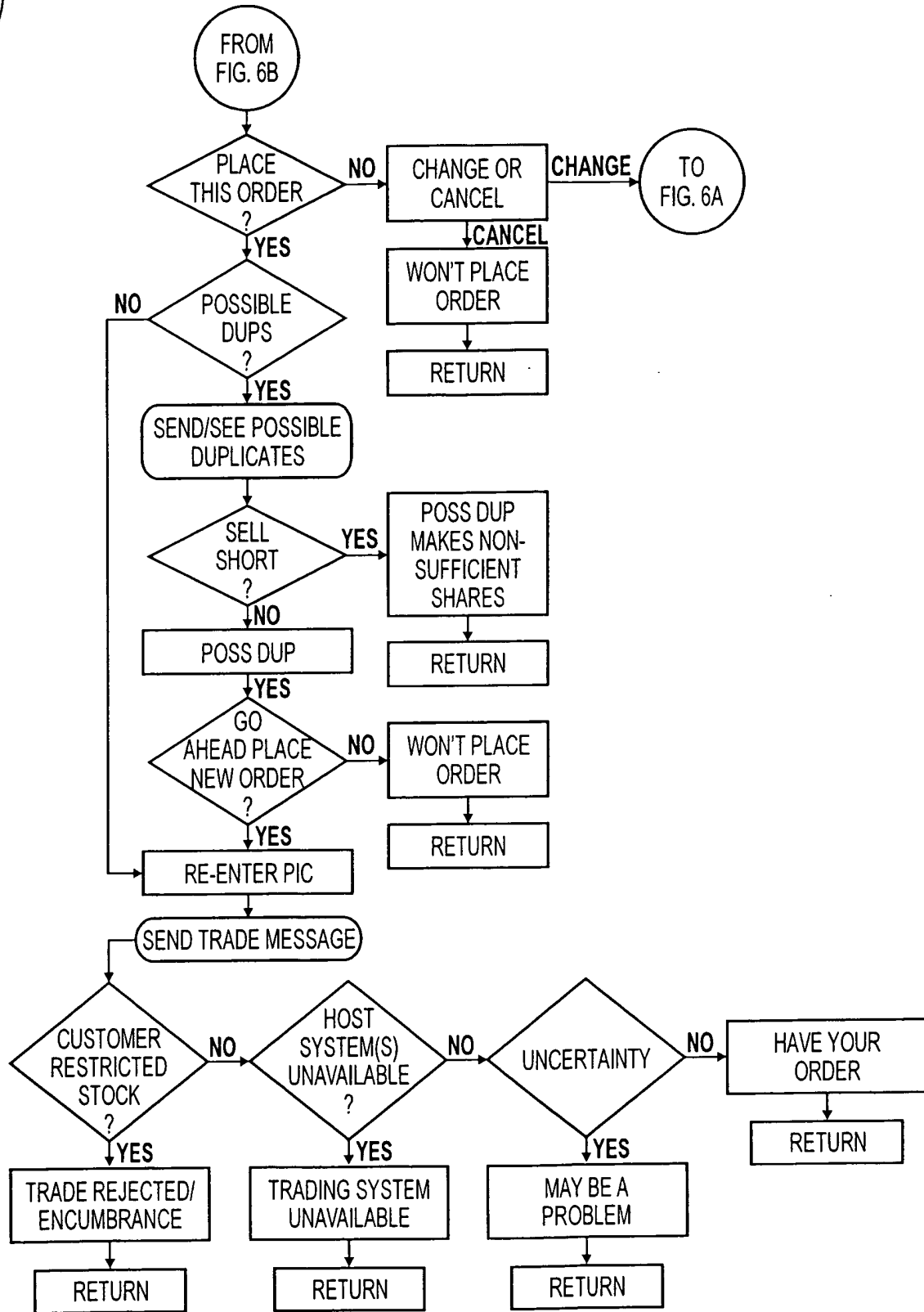
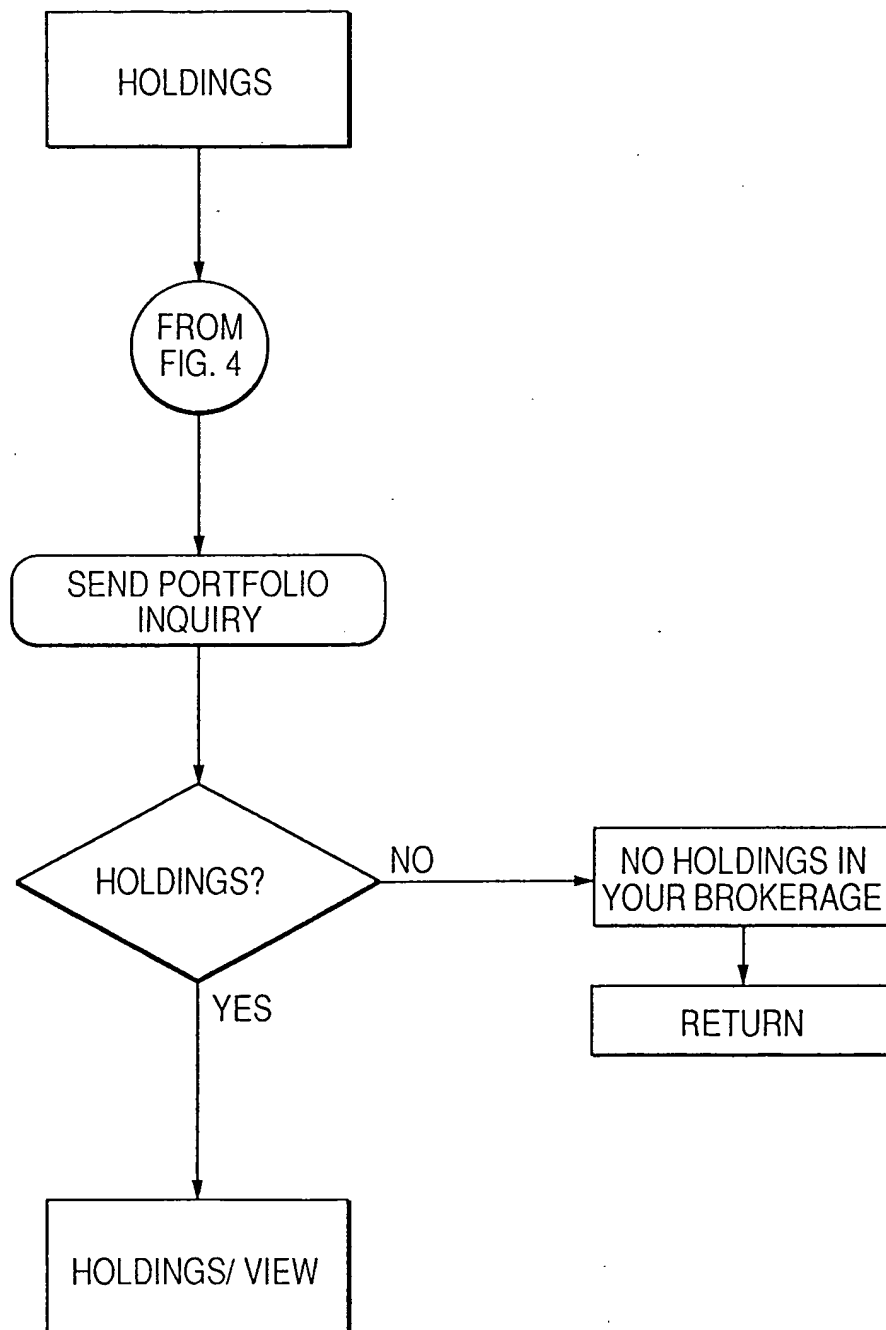


FIG. 6C



**FIG. 7**



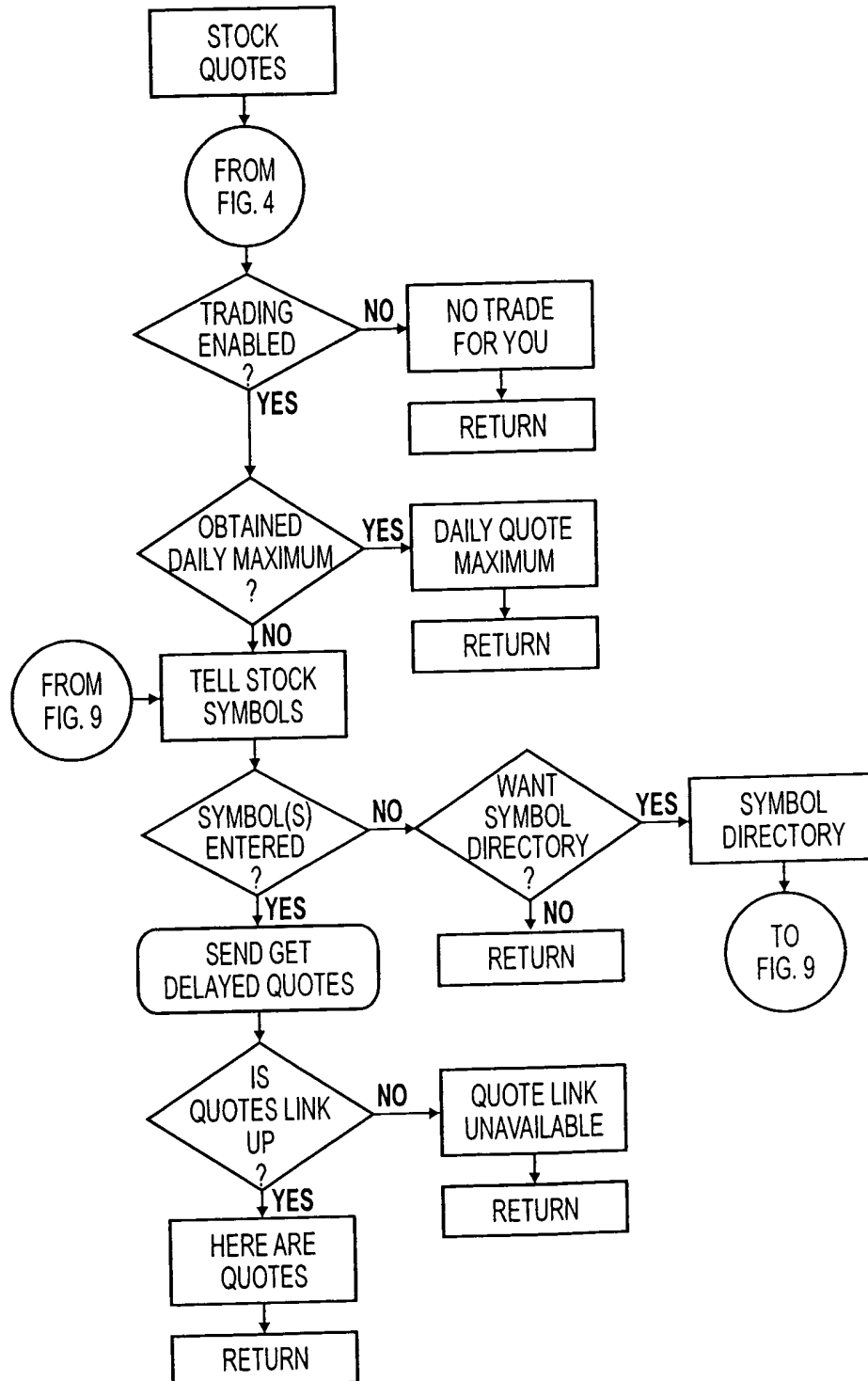
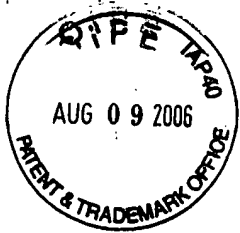


FIG. 8



FIG. 9

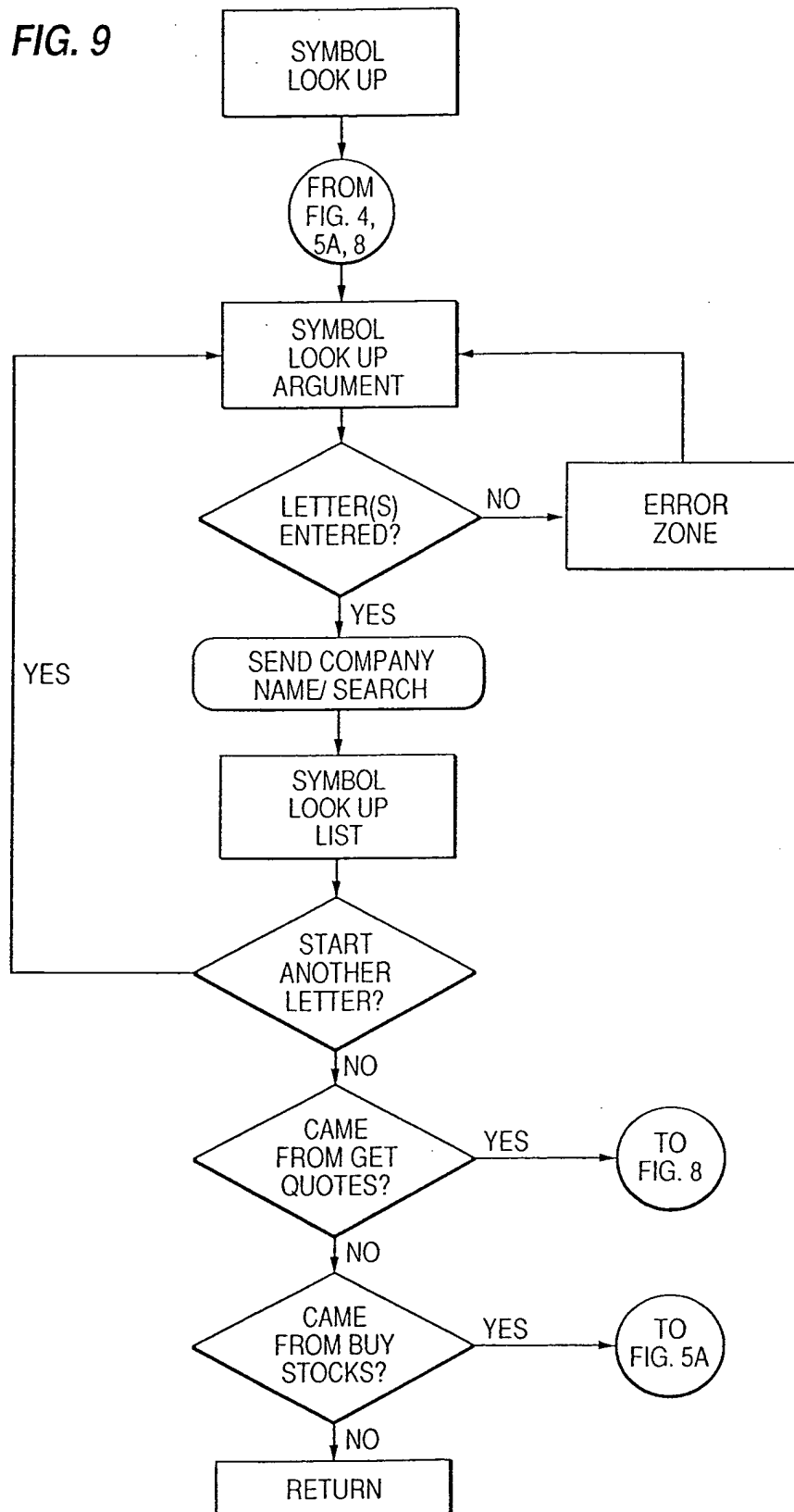
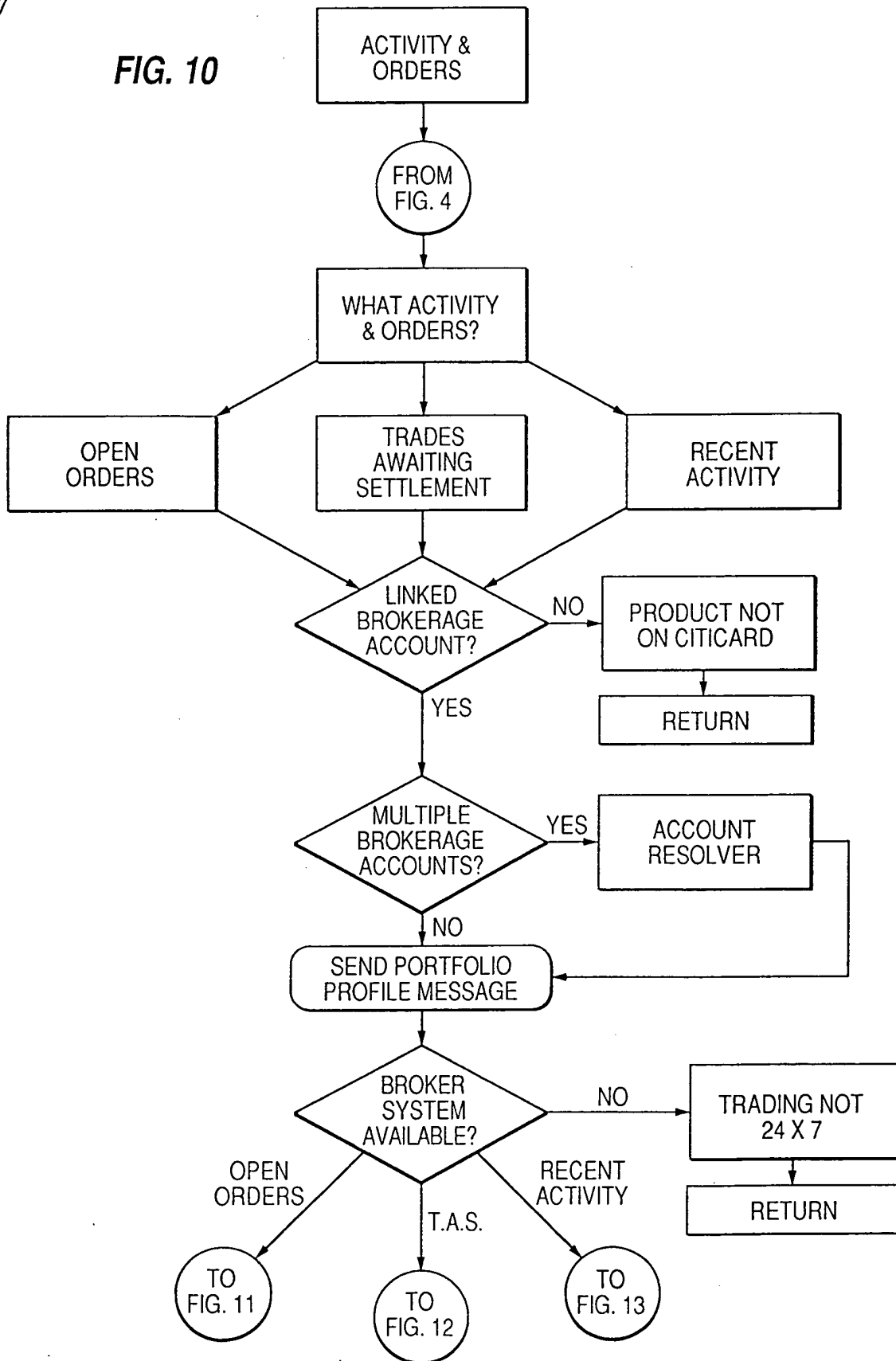




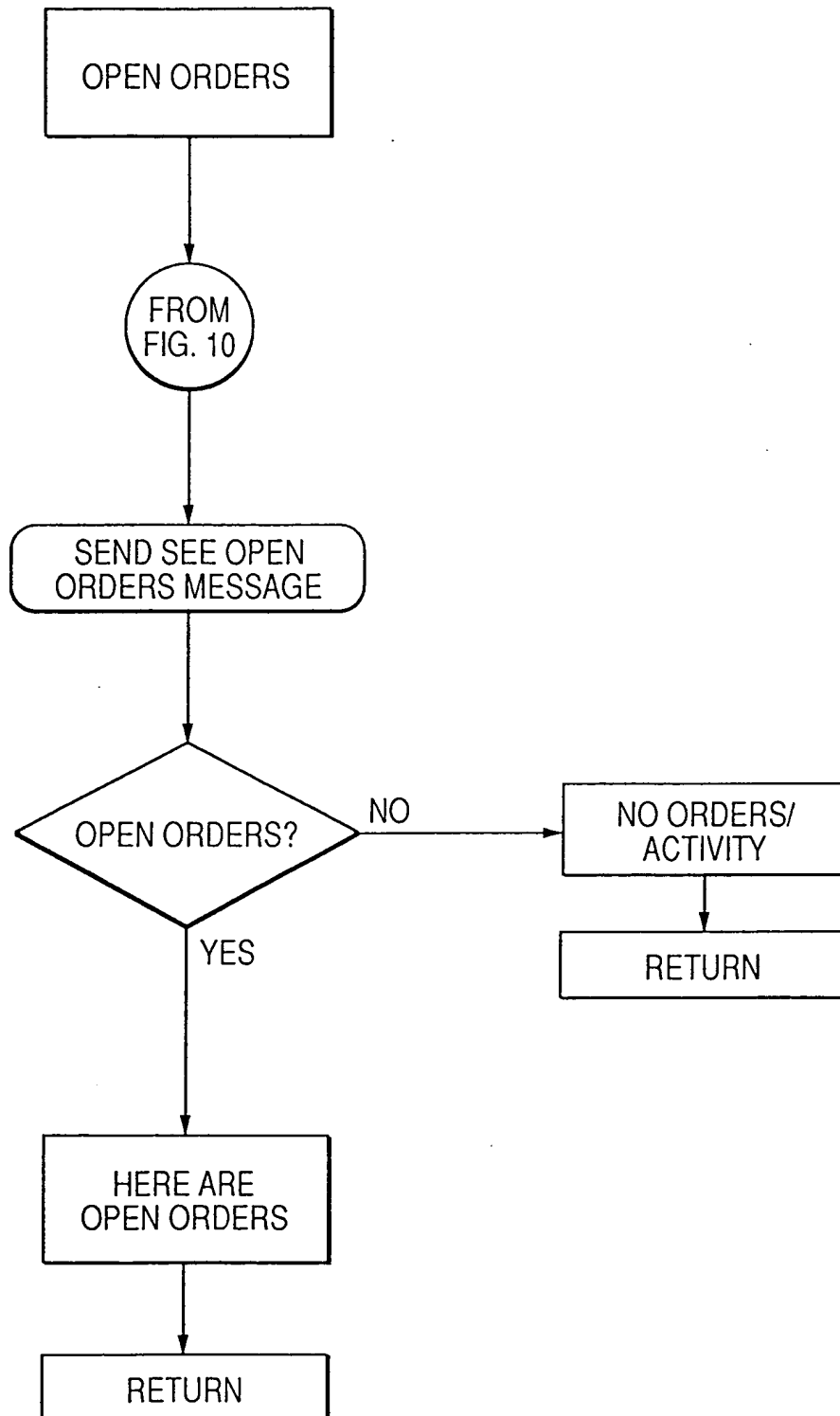
FIG. 10





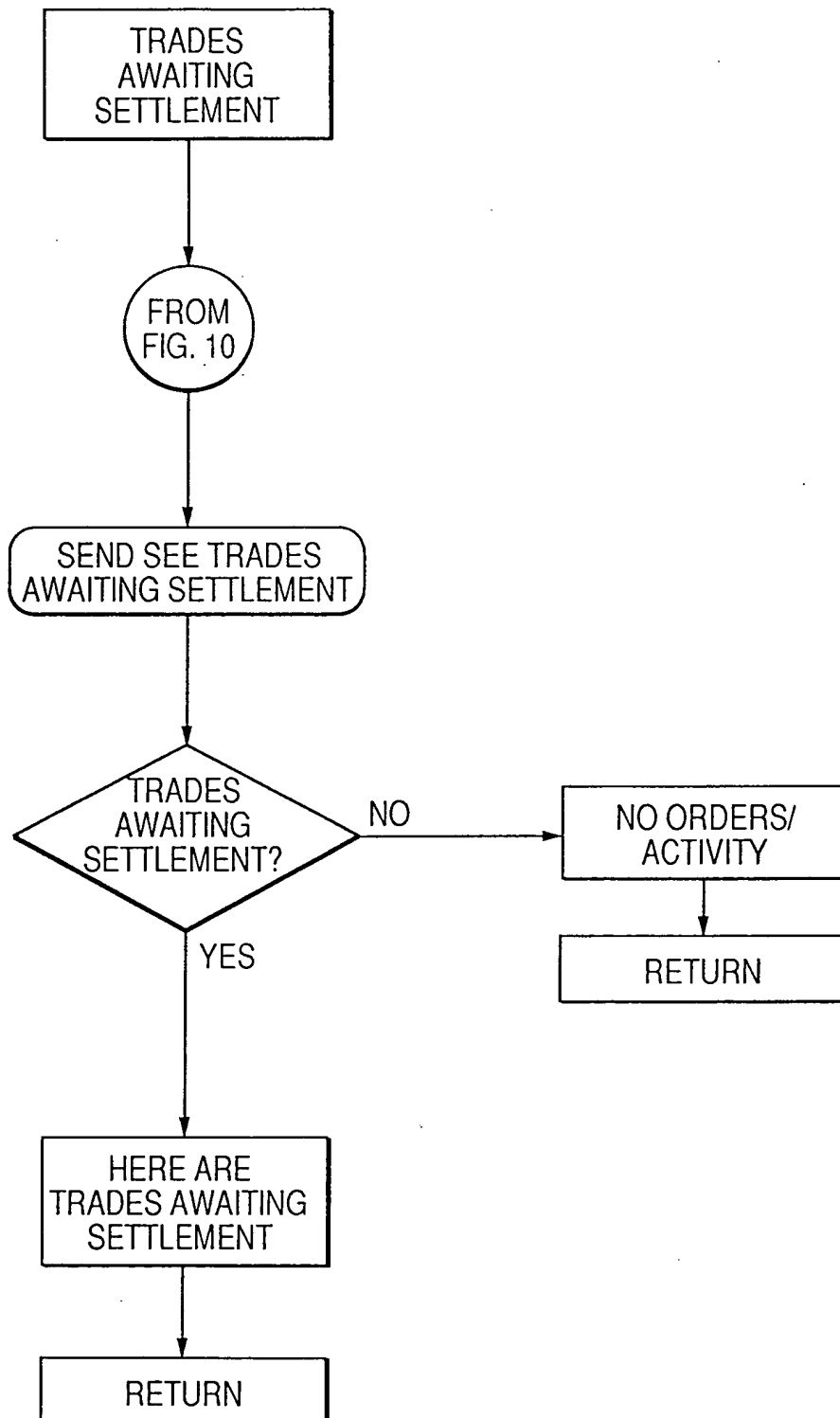


**FIG. 11**



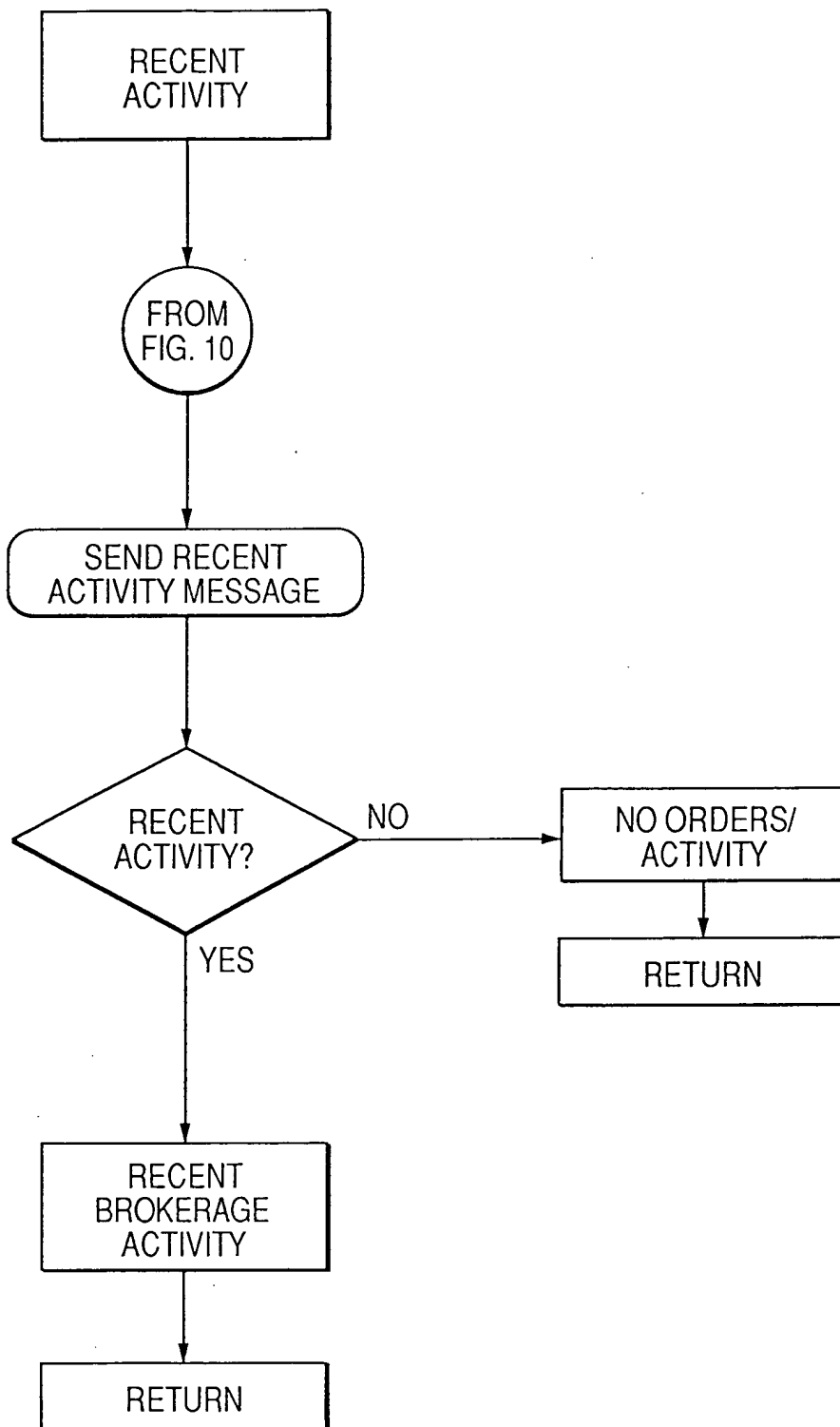


**FIG. 12**





**FIG. 13**



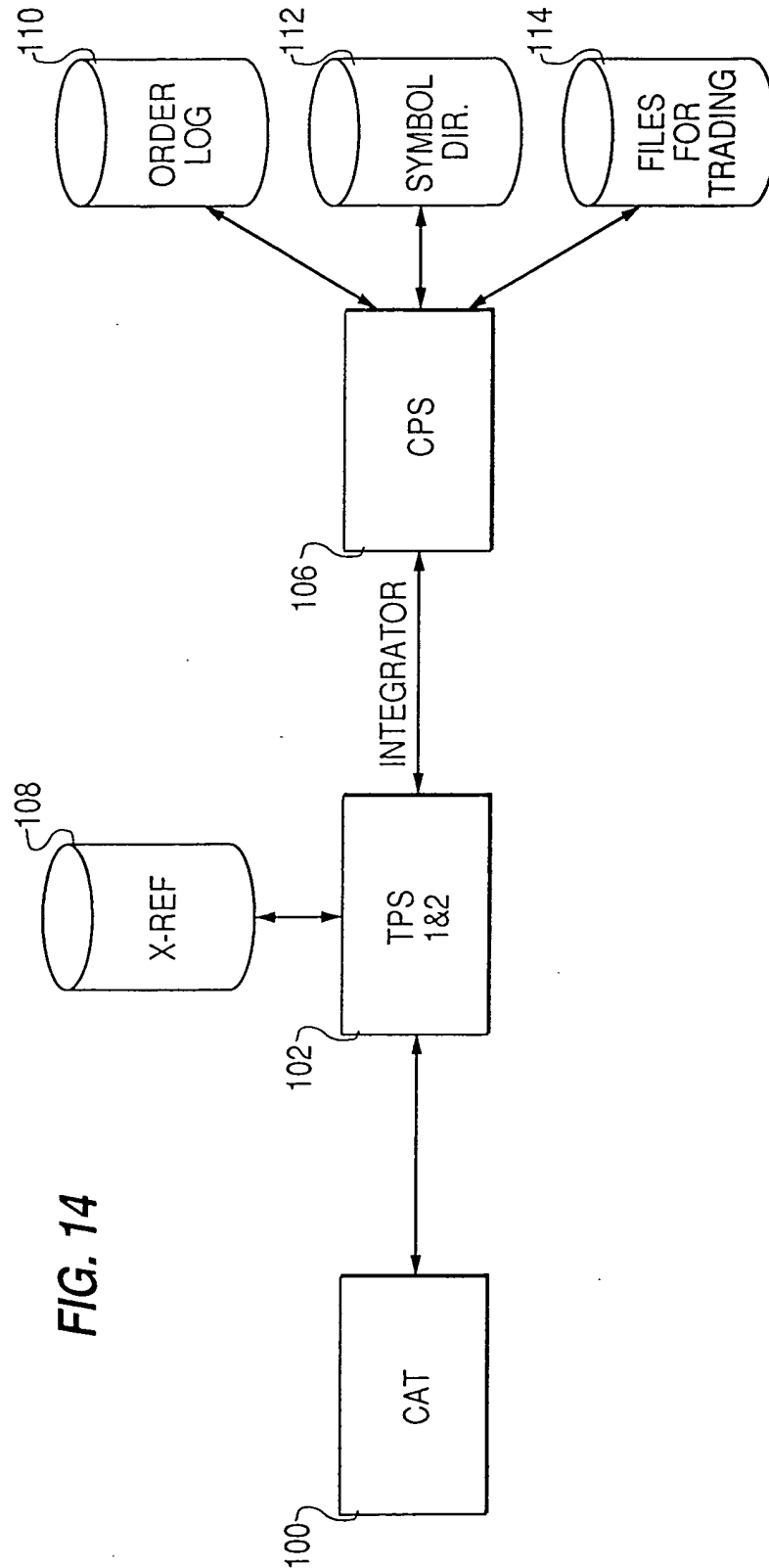
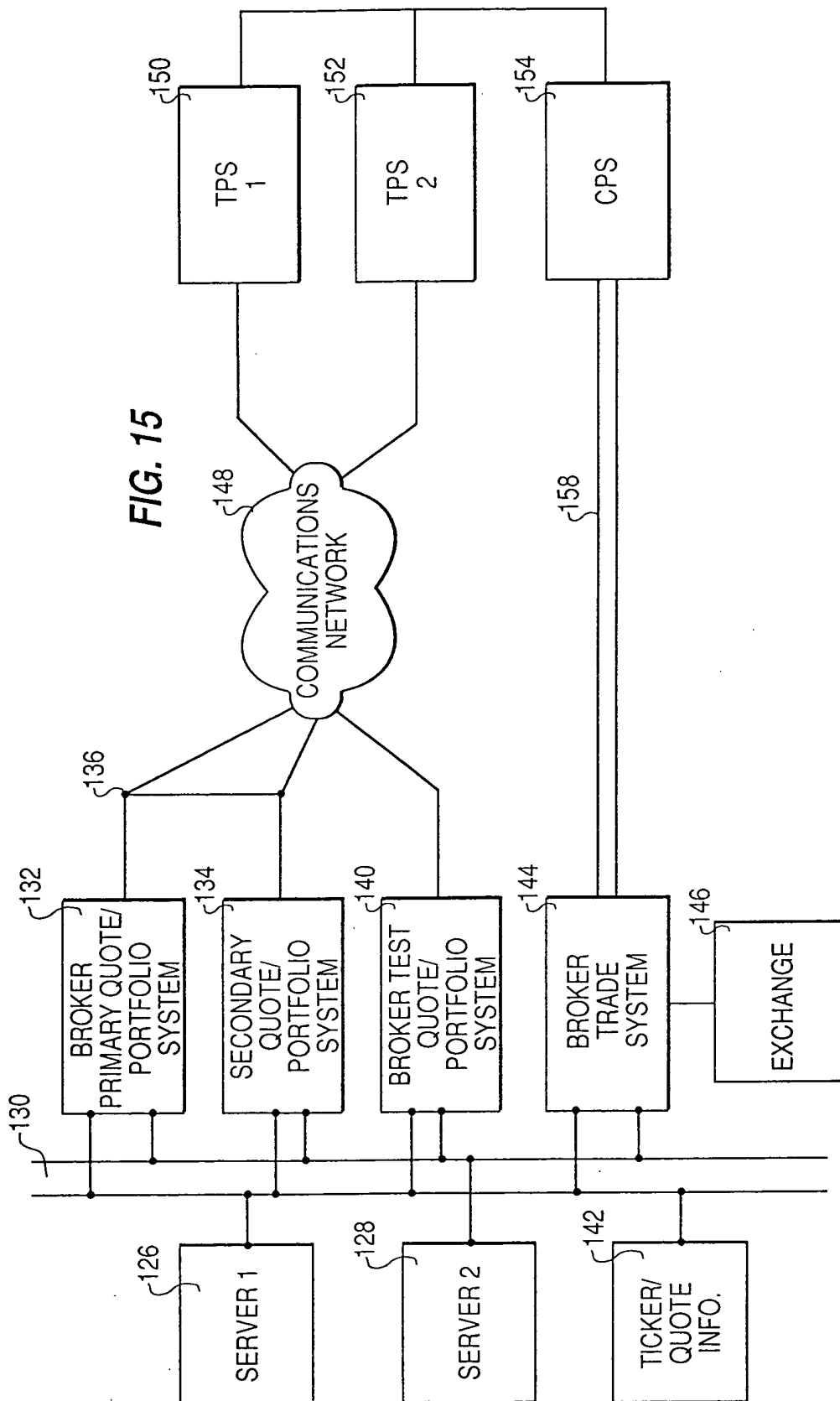
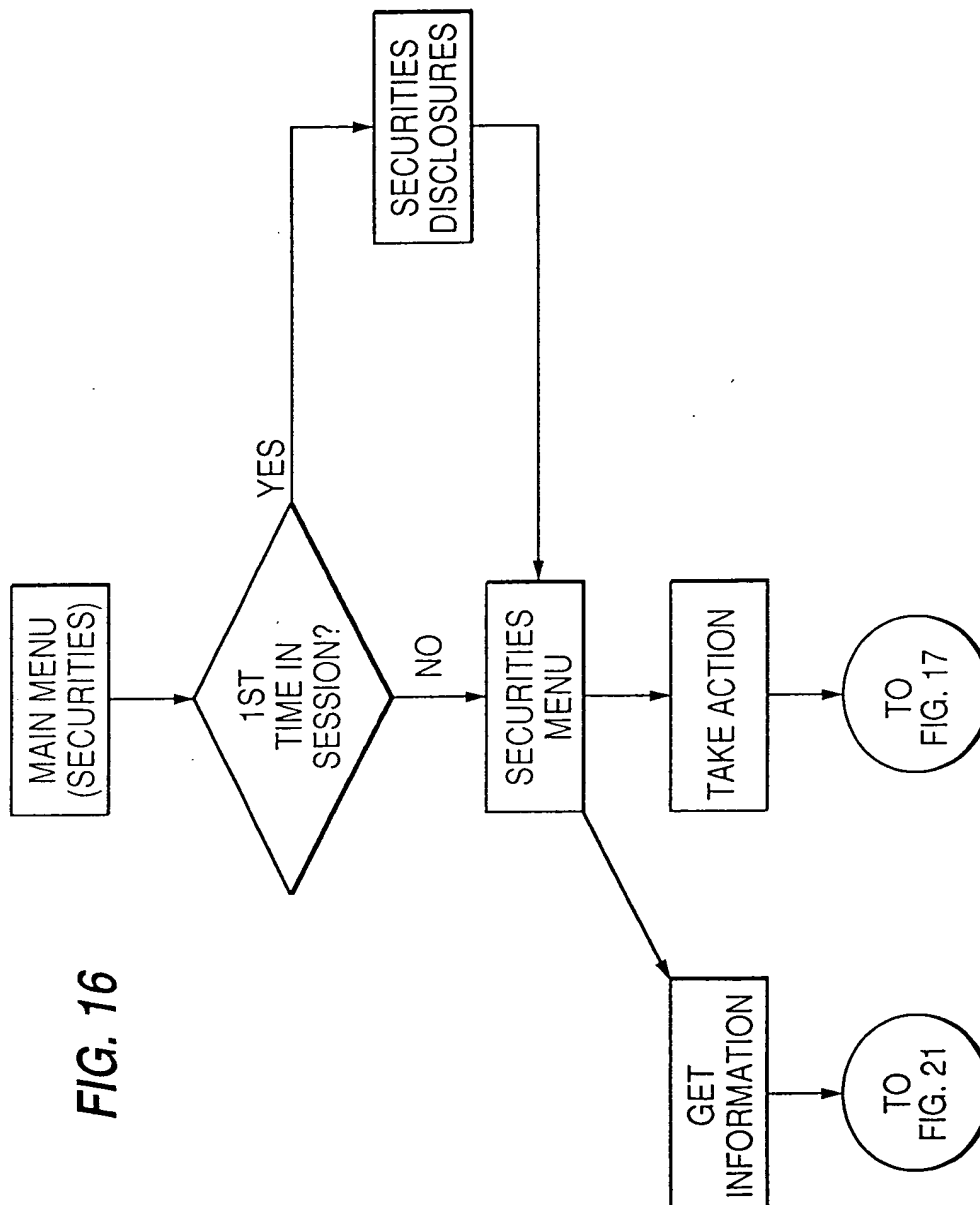


FIG. 14







**FIG. 17**

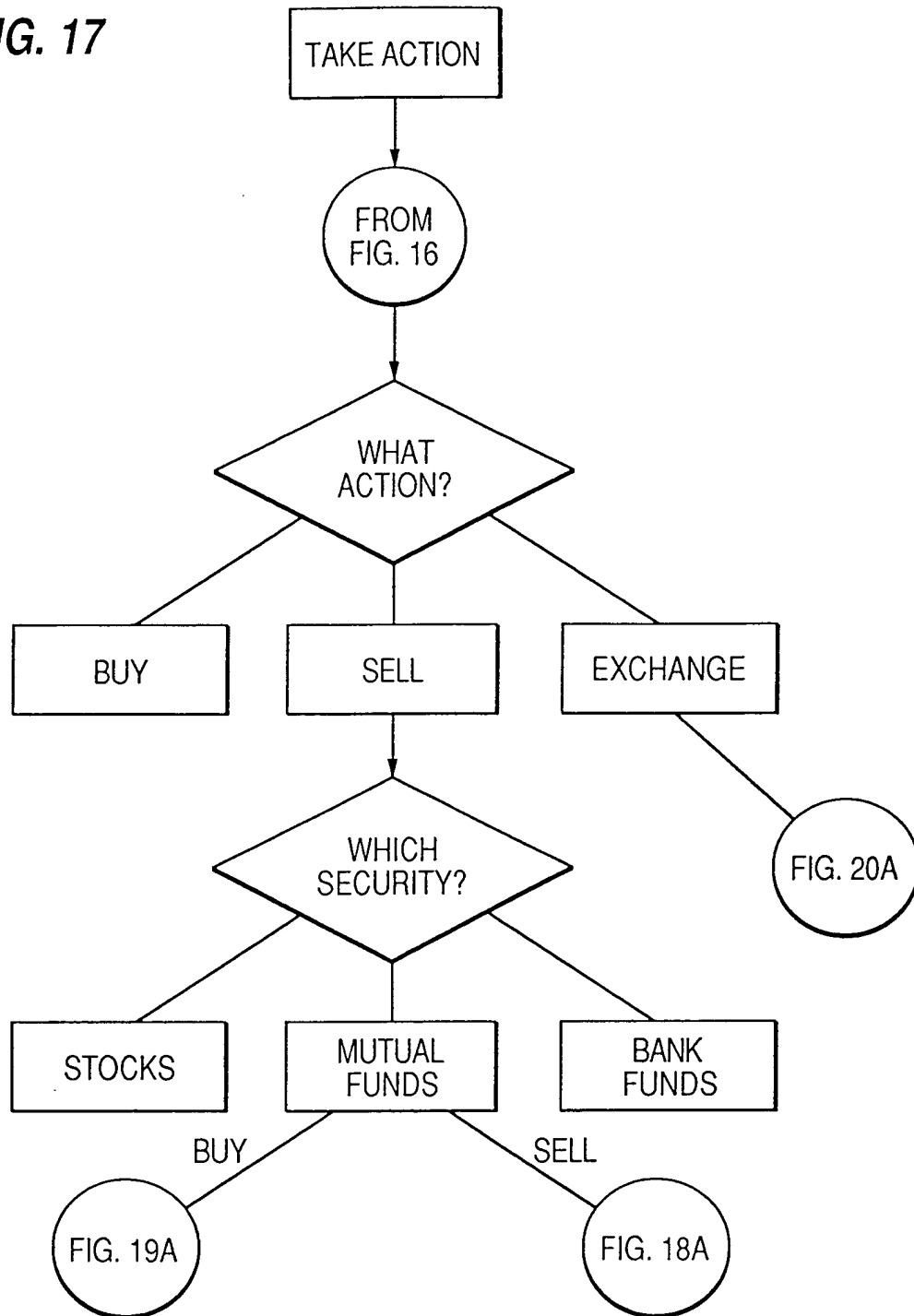
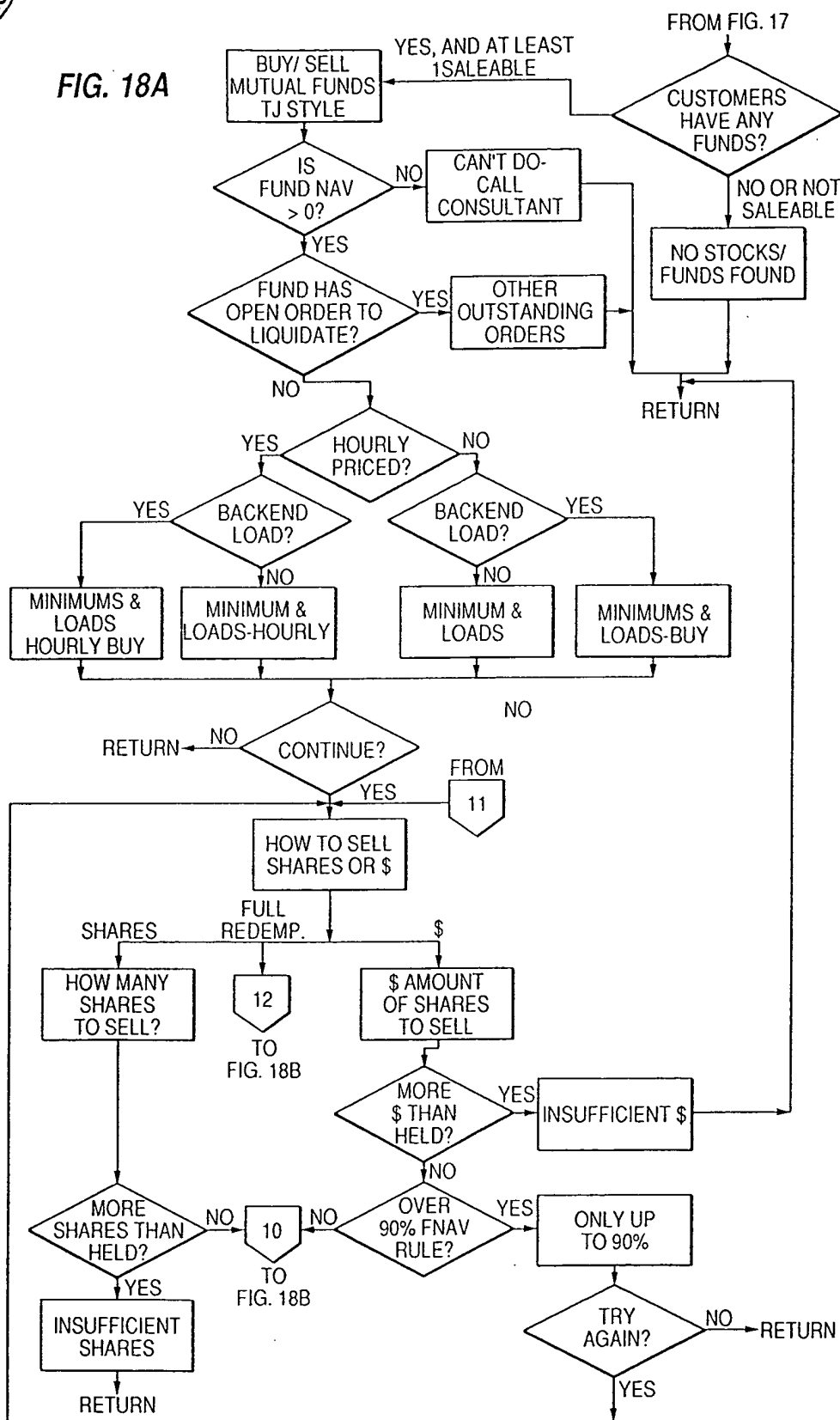




FIG. 18A





**FIG. 18B**

```
graph TD
    Start(( )) --> J1{WITHIN PARAMETERS?}
    J1 -- NO --> A1[MUTUAL FUNDS MAX DOLLARS]
    J1 -- YES --> J2{IS "SELL" FUND BACKEND FUND?}
    J2 -- YES --> A2[I'LL REDEEM EXTRA TO NET YOU $]
    J2 -- NO --> J3{FULL SERVICE CUSTOMER?}
    A1 --> J4{CONTINUE?}
    A2 --> J4
    J4 -- NO --> R1[RETURN]
    J4 -- YES --> J3
    J3 -- NO --> J1
    J3 -- YES --> A3[SOLICITED-UNSOLICITED]
    A3 --> J5{SIMILAR ORDER?}
    J5 -- YES --> J6{ENOUGH TO GO AHEAD?}
    J6 -- NO --> J7{OTHER OUTSTANDING ORDERS}
    J7 -- YES --> J6
    J7 -- NO --> B1((B))
    J6 -- YES --> A4[POSSIBLE DUPLICATES]
    A4 --> J8{ANOTHER ONE?}
    J8 -- NO --> B1
    J8 -- YES --> J9{SEE K?}
    J9 -- NO --> A5[NEED TO REVIEW ALL]
    A5 --> J10{DO K?}
    J10 -- YES --> J9
    J10 -- NO --> A6[WON'T PLACE TRADE]
    J9 -- YES --> J11{DO K?}
    J11 -- YES --> A7[I'VE PLACED YOUR ORDER]
    J11 -- NO --> A6
    J11 --> J12{PROCESS EDITS PLACED?}
    J12 -- YES --> A7
    J12 -- NO --> A8[NOT TRADING 24 X 7 WHEN BHC DOWN]
    A8 --> A9[CAN'T DO-CALL CONSULT]
    A9 --> A10[NO CONFIRMATION RECEIVED]
    A10 --> A11[CAN'T DO NOW]
    A11 --> J12
```

Flowchart details:

- Start** leads to decision **WITHIN PARAMETERS?**.
- If **NO**, process **MUTUAL FUNDS MAX DOLLARS**, then decision **CONTINUE?**. If **NO**, **RETURN**. If **YES**, proceed to **IS "SELL" FUND BACKEND FUND?**.
- If **IS "SELL" FUND BACKEND FUND?** is **YES**, process **I'LL REDEEM EXTRA TO NET YOU \$**, then **CONTINUE?**. If **NO**, proceed to **FULL SERVICE CUSTOMER?**.
- If **FULL SERVICE CUSTOMER?** is **NO**, loop back to **WITHIN PARAMETERS?**. If **YES**, process **SOLICITED-UNSOLICITED**.
- From **SOLICITED-UNSOLICITED**, proceed to **SIMILAR ORDER?**.
- If **SIMILAR ORDER?** is **YES**, decision **ENOUGH TO GO AHEAD?**. If **NO**, decision **OTHER OUTSTANDING ORDERS**. If **YES**, loop back to **ENOUGH TO GO AHEAD?**. If **NO**, connector **B**.
- If **ENOUGH TO GO AHEAD?** is **YES**, process **POSSIBLE DUPLICATES**.
- From **POSSIBLE DUPLICATES**, decision **ANOTHER ONE?**. If **NO**, connector **B**. If **YES**, decision **SEE K?**.
- If **SEE K?** is **NO**, process **NEED TO REVIEW ALL**, then decision **DO K?**. If **YES**, loop back to **SEE K?**. If **NO**, process **WON'T PLACE TRADE**.
- If **DO K?** is **YES**, decision **DO K?**. If **YES**, process **I'VE PLACED YOUR ORDER**. If **NO**, proceed to **PROCESS EDITS PLACED?**.
- If **PROCESS EDITS PLACED?** is **YES**, process **I'VE PLACED YOUR ORDER**. If **NO**, process **NOT TRADING 24 X 7 WHEN BHC DOWN**, **CAN'T DO-CALL CONSULT**, **NO CONFIRMATION RECEIVED**, **CAN'T DO NOW**, then loop back to **PROCESS EDITS PLACED?**.
- Both **I'VE PLACED YOUR ORDER** and **WON'T PLACE TRADE** lead to **RETURN**.

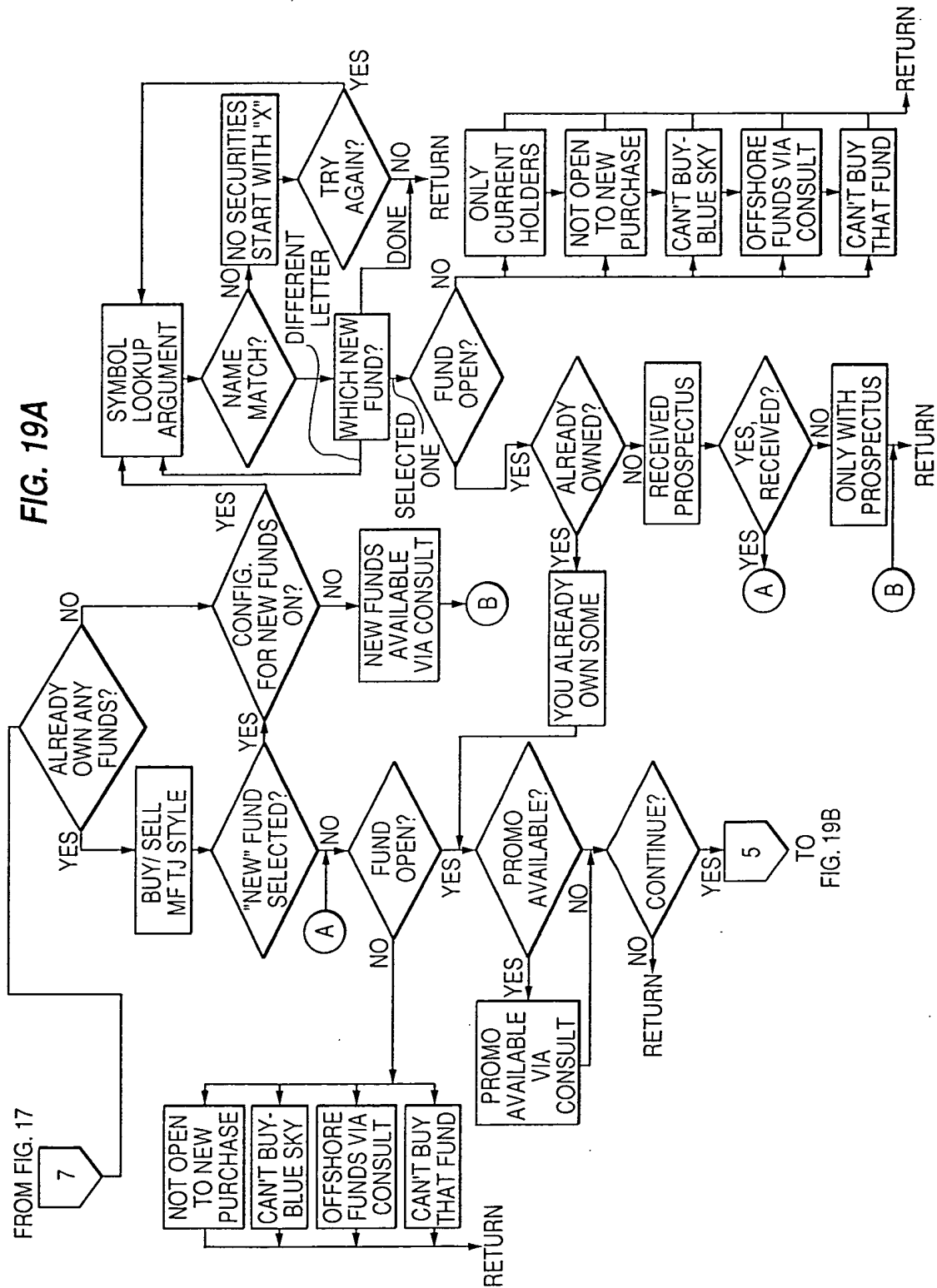
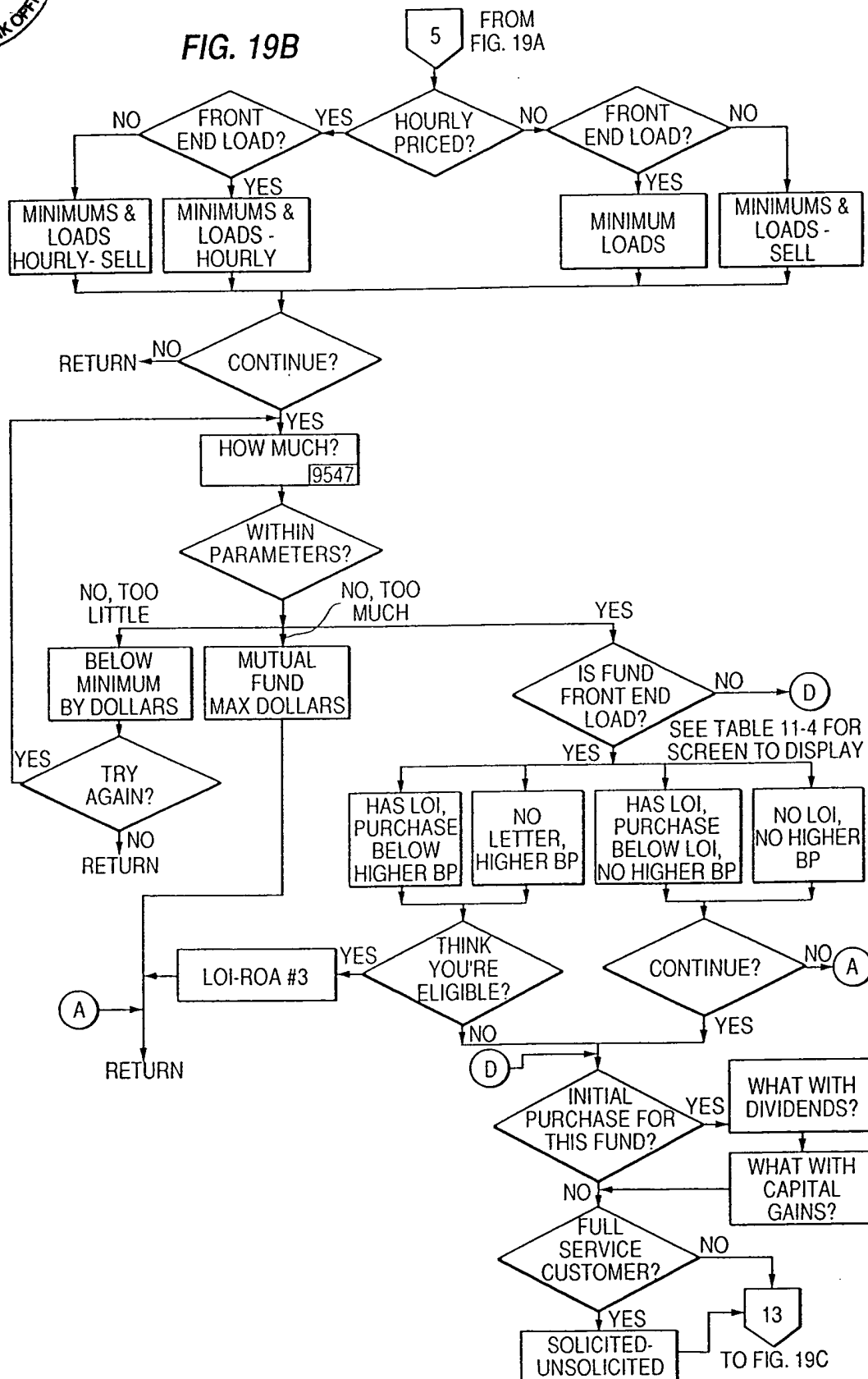
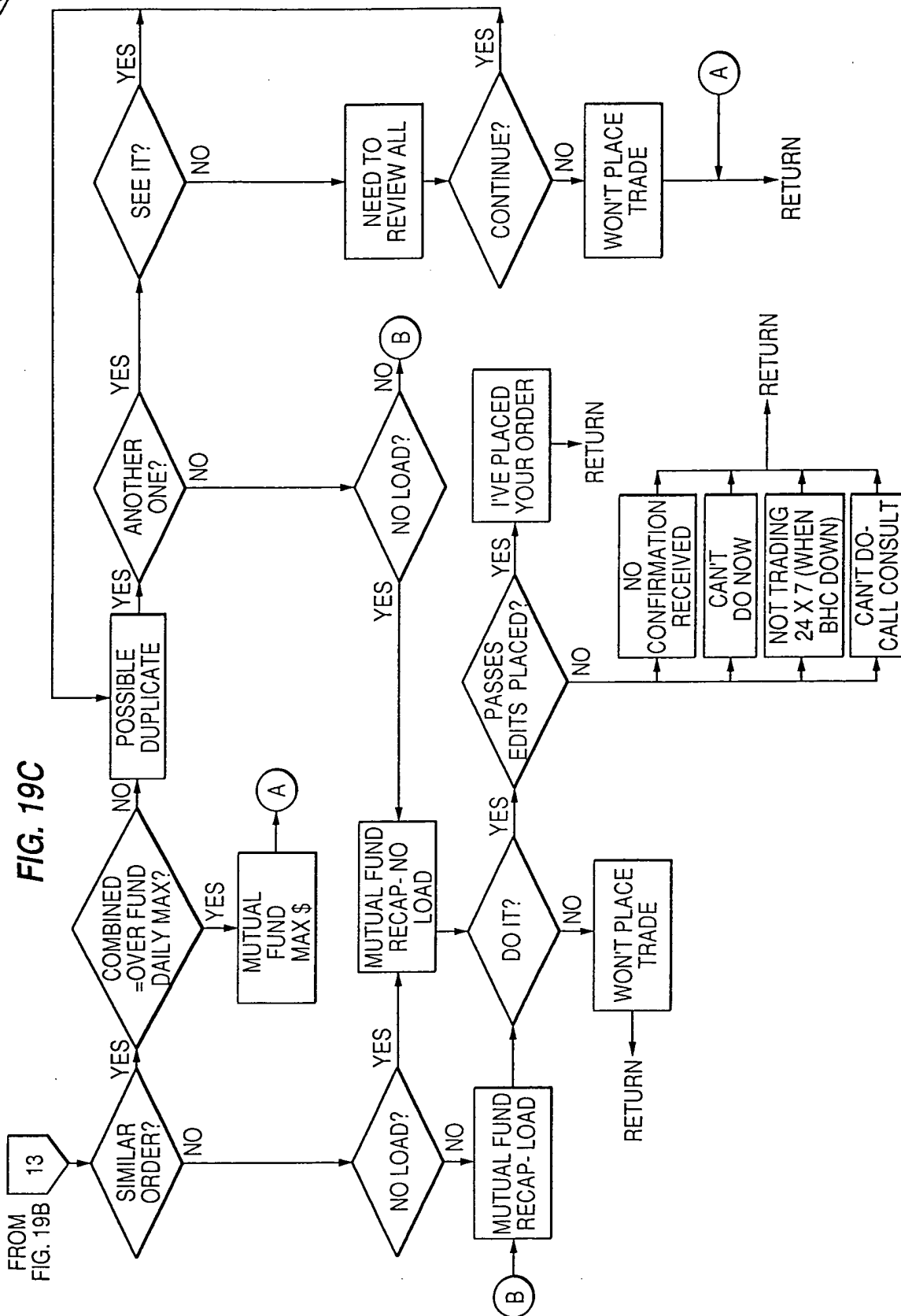




FIG. 19B





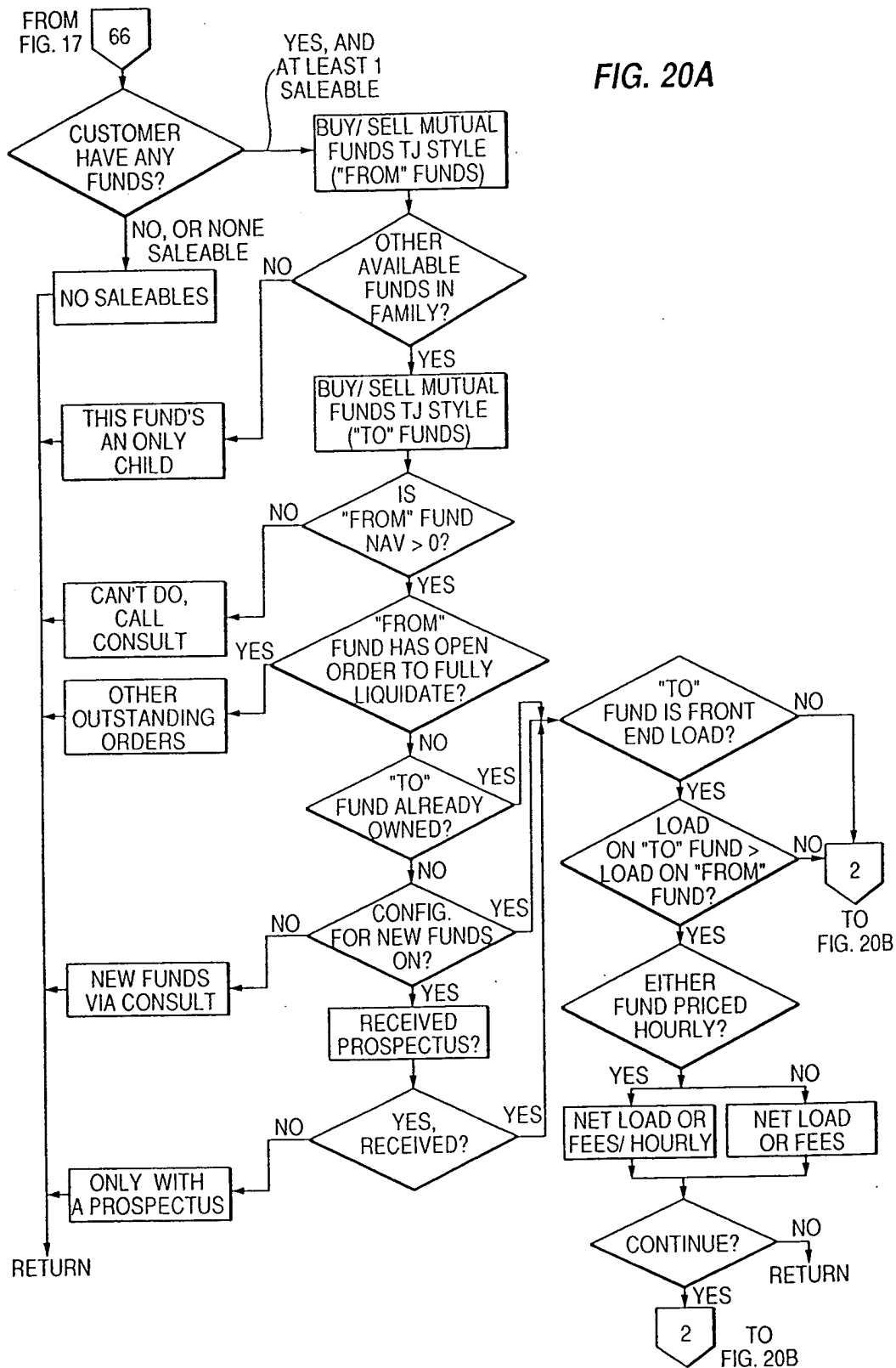
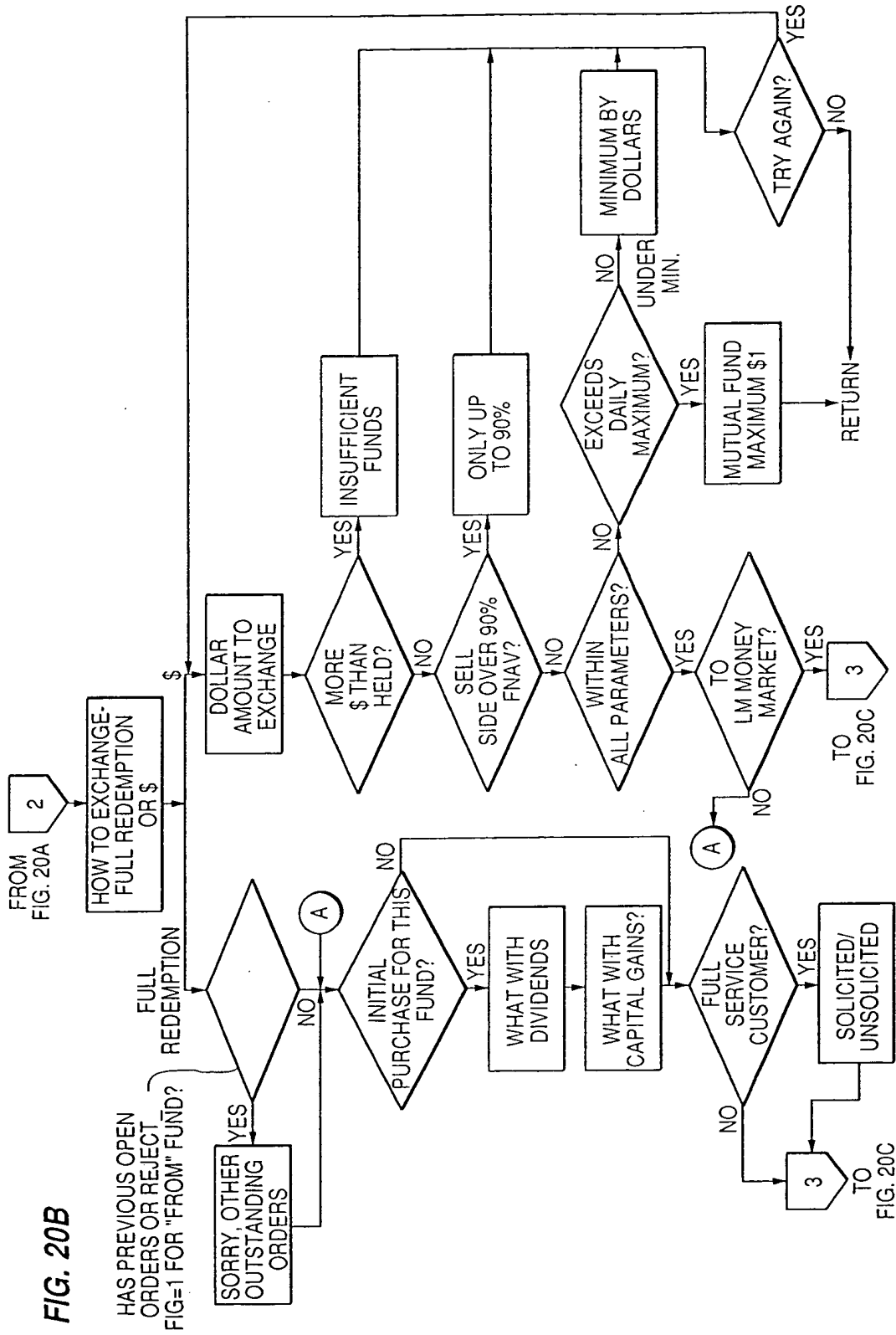




FIG. 20B



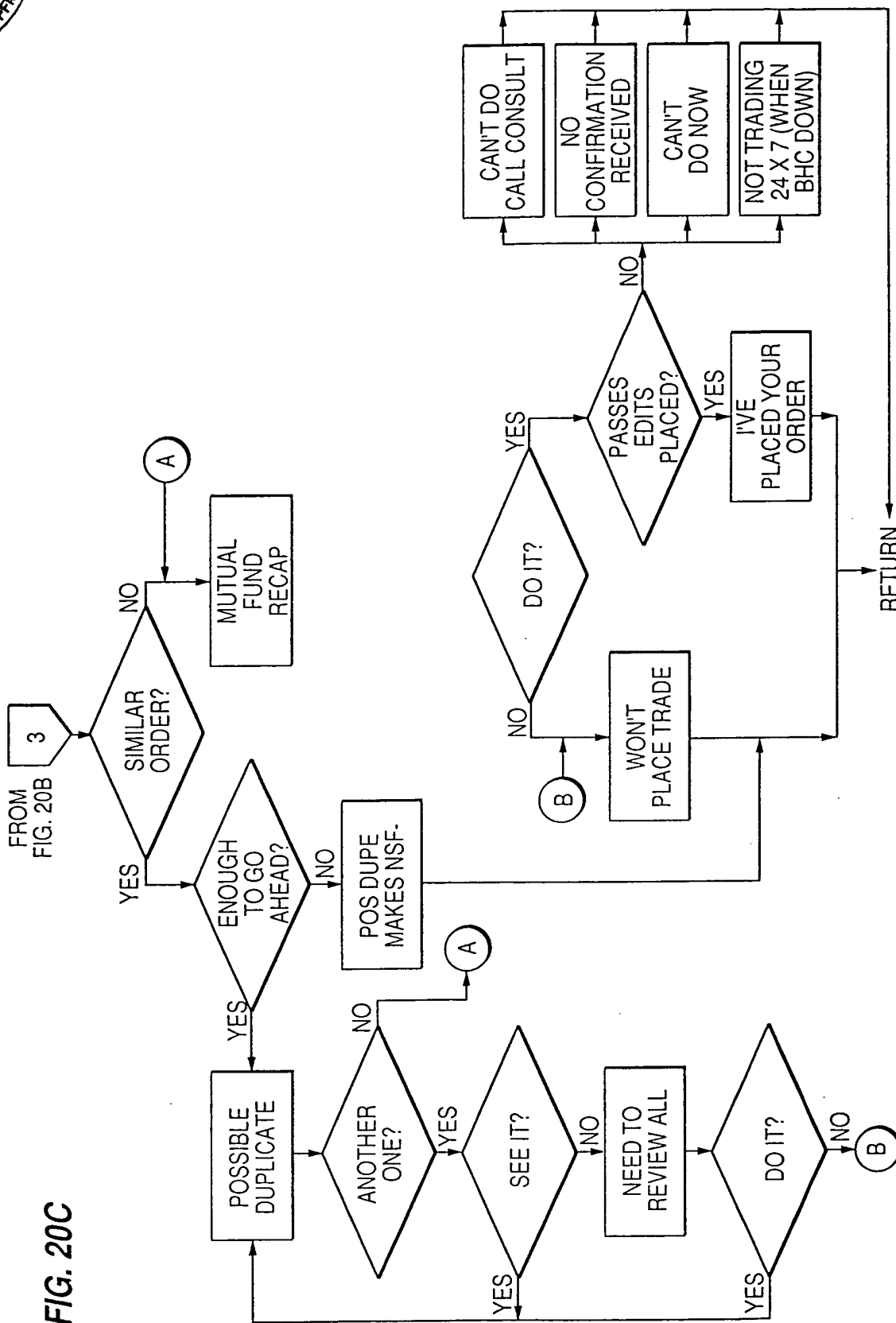




FIG. 21

